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ABSTRACT

The focus of the January 1975 meeting of the Association of Research Libraries (ARL) was the future of bibliographic records of library holdings. Speakers from the Library of Congress (LC) reported on historical problems associated with card catalogs and on plans for conversion to other forms. Speakers from large research libraries indicated a need for working with LC on its proposed changes in subject headings which would have serious consequences for most libraries. They described options being considered for dealing with LC's desuperimposition plans. A panel reacted to the presentations and discussed the experiences of the New York Public library and others in closing catalogs and converting to on-line systems. Reports followed from the National Commission on Libraries and Information Science on the dissemination of its national program report, from the CONSER Project on the current status of its efforts to build an on-line national serials data base, and from the various ARL task forces and commissions. Extensive appendixes to the minutes include written reports of ARL standing committees, committees on acquisition of foreign materials, and the national libraries of medicine and agriculture. (KB)

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The Future of Card Cataiogs

Minutes of the Eighty-fifth Meeting

January 18, 1975
Chicago, Illinois

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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ASSOCIATION OF RESEARCH LIBRARIES

CONTENTS

	Page
Opening	v
THE FUTURE OF CARD CATALOGS	
Introductions	
Ralph H. Hopp	1
Richard De Gennaro	1
Joseph A. Rosenthal	3
The View From the Library of Congress	
William J. Welsh	6
John C. Rather	10
The View From the Large Research Library	
Judith M. Corin	25
Joseph A. Rosenthal	27
Reactor Panel	
Paul Fasana	32
Hugh Atkinson	36
Rutherford D. Rogers	38
Basil Stuart-Stubbs	40
Discussion	42
NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE	
Alphonse Trezza	46
THE CONSER PROJECT: Current Status and Plans	
Lawrence G. Livingston	49
BUSINESS MEETING	
White House Conference on Library and Information Services	
Frederick Burkhardt	59
Election of Board Members	62
Reports of Commission Chairmen	
Development of Resources	63
Organization of Resources	64
Access to Resources	65
Management of Research Libraries	66
External Affairs	67
Report of ARL/ACRL Task Force on University Library Standards	69
Report of Committee on Access to Manuscripts and Rare Books	73
Resolution on L. Quincy Mumford	77
Report of Assistant Executive Director	78
Report of Executive Director	80
Report of President	84

APPENDICES

		Page
A.	Report of the Commission on Development of Resources	87
B.	Report of the Commission on Organization of Resources	88
C.	Report of the Commission on Access to Resources	92
D.	Report of the Commission on Management of Research Libraries	96
E.	Report of the Commission on External Affairs	99
F.	Report of the ARL/ACRL Task Force on University Library Standards	100
G.	Report of the Committee on Access to Manuscripts and Rare Books	116
H.	ARL Statement on Access to Original Research Materials in Libraries, Archives, and Manuscript Repositories	119
I.	ARL Statement on Reproduction of Manuscripts and Archives for Noncommercial Purposes	122
J.	ACRL Statement on Access to Original Research Materials in Libraries, Archives, and Manuscript Repositories	124
K.	ACRL Statement on Reproduction of Manuscripts and Archives for Noncommercial Purposes	125
L.	Report of the Committee on the National Program for Acquisitions & Cataloging	126
M.	Report of the Committee on Interlibrary Loan	127
N.	Report of the Committee on Foreign Newspaper on Microfilm	129
O.	Report of the Committee on Library Acquisitions on Latin America	132
P.	Report of the Committee on Library Acquisitions on the Middle East	135
Q.	Report of the Committee on Library Acquisitions on South Asia	136
R.	Report of the Task Force on the Future of the Card Catalog	137
S.	Report of the National Agricultural Library	138
T.	Report of the National Library of Medicine	148
U.	The Library of Congress Annual Report	150
V.	Auditor's Report	174
W.	Center for Chinese Research Materials Annual Report	187
X.	Office of University Library Management Studies Annual Report	193
Y.	OMS Assessment and Project Planning Survey Results	200
Z.	Summary of January 17 Discussion Session on OMS Future Activities	205
AA.	Attendance at 85th Membership Meeting	207
BB.	Commissions, Committees and Task Forces of the ARL	212
CC.	Membership of the ARL	217

ASSOCIATION OF RESEARCH LIBRARIES

Minutes of the 85th Meeting

Ralph H. Hopp, presiding

The Eighty-fifth Meeting of the Association of Research Libraries was held at the Palmer House Hotel in Chicago, Illinois on January 18, 1975.

President Ralph H. Hopp opened the meeting by welcoming and introducing representatives of new ARL member libraries, new and alternate representatives attending their first ARL meeting, and guests of the Association.

This meeting of the Association was the occasion for a special banquet and evening program in honor of Stephen A. McCarthy for his distinguished service as ARL Executive Director from 1967 to 1975. A number of former ARL directors were among the special guests attending the ceremonies.

Also, because of the great interest in the program, a separate ARL publication entitled The Future of Card Catalogs was prepared which contains not only the transcript of the presentations and discussion (included here on pp. 1-45), but also three special papers: "The Library of Congress Card Catalog; An Analysis of Problems and Possible Solutions" by Richard S. Angell and John C. Rather; "The Future of Catalog Control in the Library of Congress" by John C. Rather, and "Catalog Cutoff" by Joseph A. Rosenthal. These papers, which are referred to on several occasions by the speakers, are not included in these Minutes.

THE FUTURE OF CARD CATALOGS

Introduction

RALPH H. HOPP (University of Minnesota): Almost from the beginning of its organization, the Association of Research Libraries has had an intense interest in the bibliographic record of the holdings of libraries. At its 1936 meeting, 39 years ago, Harvie Branscomb, then librarian at Duke University, suggested the possibility of obtaining a printed catalog of the contents of the Library of Congress. To quote from the Minutes of that meeting: "This problem was the principal topic of discussion at the meeting, which was a long and varied one." As a matter of fact, a review of many of the concerns have surfaced in previous ARL discussions.

Because of the several letters from ARL members expressing the desire for ARL to explore the issues involved in closing card catalogs, the Board of Directors proposed establishing a Task Force on the Future of Card Catalogs. Members of that Task Force are Hugh Atkinson, Richard De Gennaro, William Welsh and Joseph Rosenthal, Chairman.

In appointing the Task Force, we suggested that a report be prepared for our consideration by the January, 1975 meeting. This meeting this morning is an outgrowth of the work of that Task Force. I am pleased to acknowledge that the ARL Vice President, Richard De Gennaro, has kindly consented to planning this morning's program, and I am now going to turn the meeting over to him.

* * * *

RICHARD DE GENNARO: We librarians have always been concerned about the growth of our catalogs, but this concern has been particularly acute ever since Fremont Rider dropped his bombshell on the library world in 1940 and announced his findings that research libraries grow at an exponential rate and tend to double in size every 16 years. Using the Yale Library as his example, he said that by a series of successive doublings, it would by the year 2040 have 200,000,000 volumes and that its card catalog (if it then had a card catalog) would have nearly 750,000 catalog drawers which would occupy eight acres of floor space. New material would be coming in at the rate of 12,000,000 volumes a year and would require a staff of over 6,000 persons to catalog it.

The key phrase there was "if it then had a card catalog." Yale probably will not have a card catalog by then, or if it does, it will certainly not be a continuation of the present one, and it will not occupy eight acres of floor space. Something has got to give, and within the next decade or so, not only at Yale, but in all the large research libraries. The New York Public Library has already closed its card catalog and started a new computer-based continuation in book form.

The Library of Congress is seriously considering various alternative ways of closing its catalogs, as you will hear shortly. By 1979 the main catalog at LC will contain 22,000,000 cards and the Official Catalog about 26,000,000 cards, and they will be growing at the rate of nearly one million cards a year. Clearly LC is going to have to do something in the next few years, and whatever it does will have very serious consequences for all libraries. We are going to have to learn about the various alternatives and options that are open to us, and soon we are going to have to make some very critical decisions about our own catalogs. This is why we selected this subject for our program -- to help you prepare for these changes that are coming. In the area of card catalogs, the future has almost arrived.

We are very fortunate to have as speakers and panelists a few of the principal actors in this impending drama, along with a few critics and enthusiasts. In the interests of brevity and since you know most of them anyway, I will dispense with formal introductions and merely identify the characters here on the stage in the order of their appearance and say a word about their roles in the program.

Joseph Rosenthal is Chairman of the ARL Task Force on the Future of Card Catalogs, Associate University Librarian at Berkeley, and formerly Chief of the Processing Department at New York Public Library, in which capacity he played a key role in making and implementing the decision to close the NYPL's catalog and to continue it with a computer-based book catalog system. He will lead off with a brief introduction to the subject.

William Welsh, Director of the Processing Department at the Library of Congress, will give some history and background on the problem facing LC and its long range plans and concerns in this area.

John Rather, Chief of LC's Technical Processes Research Office, will summarize the contents of his paper [See Appendix A], outline LC's alternatives and tentative plans, and discuss how they might affect other libraries.

Following a brief intermission Joseph Rosenthal and Mrs. Judith Corin, who is Assistant University Librarian for Planning at UCLA, will discuss the various problems and possibilities of two large research libraries that have already embarked on a serious consideration of alternatives.

All of this will be followed by a reactor panel and a discussion period. Members of the panel include: Rutherford Rogers, who, in addition to having to worry about the 8,000 acres of catalog cards that are coming to Yale by the year 2040, is a member of the Universal Bibliographical Control Committee. Basil Stuart-Stubbs is interested and actively involved in planning for the future of his catalog at the University of British Columbia, and will give us a view from Canada. Paul Fasana is Chief of the Preparation Division at New York Public Library, and before that he was head of systems development at Columbia. Our last panelist is Hugh Atkinson, and those of you who do not know that Hugh is going to close his catalog at Ohio State on the 4th of July, 1976, come hell or high water, have been very inattentive at these meetings.

Joseph Rosenthal and Richard Dougherty were the ones who initially suggested that ARL should have a Task Force on the Future of Catalogs.

Each of the panelists will have about five or ten minutes to make a statement, and then the floor will be open for questions and discussion until we adjourn at 12:30.

Joseph Rosenthal will be our first speaker.

* * * *

JOSEPH A. ROSENTHAL: My interest in library catalogs -- past, present, and future -- is long standing. Thoughts about the future focussed about a year and a half ago when I prepared a very short paper in an attempt to pose some questions with regard to the Library of Congress plans. That paper [see Appendix C] outlined some considerations of the consequences of the steadily increasing size of our catalogs. John Rather, in the paper which has been distributed to all of us [see Appendix A], has developed those consequences and implications. My short paper of May, 1973, attempted to raise some questions about the consequences of LC action in this area and to ask for an announced decision by the Library of Congress. We were interested at that time in whether the Library of Congress would continue its policy of superimposition -- of keeping certain rules that were not in accord with the Anglo-American Cataloging Rules, and in what LC might do about filing rules, about the continuance of its own back catalogs, and a number of other matters.

Even in the brief interval since mid-1973, the problems arising from and associated with card catalogs have demanded an increasing share of our attention. What we are discussing today is not simply a question of closing the card catalogs, but of how we want bibliographic access to function in the future. In considering this larger question we need to consider our future actions and products and their relationship to what we have done in the past. We need to try to plan for the most effective use of available technology. We increasingly realize that we must spend our available resources wisely and effectively, not simply as individual libraries, but as a library community.

To review very briefly a few factors that are pertinent to all of this and with which I am sure you are all familiar -- factors that affect and relate to the question of the future of catalogs -- I would like to first mention budgetary constraints. Many of us operate with a stable budget, and all of us operate with a budget which we feel is quite limited. Many of us desire to spend more of our available resources in both absolute and relative terms on innovative public services and resources, including the machine-readable data bases that are becoming available, in comparison to the amount now expended for technical services. In a very short time there has been a very rapid increase not only in the utilization, but also the input by our libraries of bibliographical data in machine-readable form. There has been greatly increased emphasis on network involvement.

I think a lot of us realize more sharply than ever the inadequacy of our existing catalogs. For example, we find at Berkeley that certain materials are inadequately represented in our catalogs; we do not give our users enough access to on-order information, to in-process information, to information about Berkeley dissertations; we find that there are many monographs in series that we do not have fully represented in our catalogs.

We are also dissatisfied with the speed in which bibliographical information appears in our catalogs. We think subject heading structure and subject access is inadequate. The data that we do produce or receive from other sources and display in our catalogs is not as distributable as we would like. We do not give enough information about our total holdings to library units on our campus. We do not give enough information as rapidly as we would like, to other libraries with which we cooperate, in both an interlibrary loan sense and in more intensive involvements.

Another factor to consider in all of this is that we are increasingly dependent. We have hitched our wagons to the Library of Congress star. We depend on Library of Congress cataloging, on Library of Congress catalogs, on Library of Congress data bases, the MARC data base (for both monographs and serials), and other products such as the commendable new publications Monographic Series and Library of Congress Name Headings with References. Many more of us than before are following more closely the Library of Congress policy and practice in bibliographical matters, and we are more consciously explicit about doing this.

Nevertheless, we are ingrates. We are not only dissatisfied with the Library of Congress, but with the Library of Congress as an expression of change. The Library of Congress cannot be held responsible for many of the factors inducing change, and yet, the results are made evident through the Library of Congress and its products which we all receive and use. We are dissatisfied with the delay with which the Library of Congress distributes data. For those of us utilizing machine-readable data -- and there are more and more of us -- the scope of MARC coverage is insufficient. The subject headings to which I alluded before are unsatisfactory, especially for those of our units and clientele which constitute special libraries -- the branch libraries, the libraries of particular subject interest.

We find that it is very difficult and costly to receive and to incorporate changes in bibliographical data as the Library of Congress issues those changes, or as the Library of Congress catalogs differently something that we have already cataloged. In particular, we find it difficult to keep up with subject heading changes, with entry (especially corporate author) changes, with changes in serial data, and with major changes in cataloging policies or rules such as the ISBD for monographs and dropping of Rules 98 and 99 in the AACR.

Some of our difficulties, in my opinion, relate to the occurence of bibliographical or bibliothecal activities at a number of levels, and the imperfect communication and coordination among these various levels. This is particularly true in matters of bibliographic control and access; we in North

American research and large public libraries are acutely aware of this. There are, I believe, at least five identifiable levels: 1) there is an international level: the level of IFLA, of ISO, and of the multipartite formulation and issuance of the Anglo-American Cataloging Rules; 2) there is the national level: that of the three national libraries and the work in which the ALA Descriptive Catalog Committee and the Catalog Code Revision Committee is engaged; 3) there is the emerging regional level, the regional organizations which are primarily focused on machine-readable bibliographical data bases such as the OCLC and NELINET. Also there are the regional organizations which are concerned not only with the control and the distribution of bibliographic data, but with other matters as well, such as the Research Libraries Group, SLICE, the libraries in the University of California system, SUNY, the Indiana consortium, MIDLNET, etc.; 4) there is the level of the individual library, particularly our research libraries; and finally 5) there is the level of the units within a large research university or research library or even a large public library system -- units which frequently engage in bibliographical activity of their own. The relationship among these levels is very difficult and poses a number of problems for the future of bibliographical access and catalogs.

* * * *

THE VIEW FROM THE LIBRARY OF CONGRESS

WILLIAM J. WELSH: Judging from some of the comments made to me by some of you this morning before the program began, which suggested I am attempting to bury the catalog, I am seriously tempted to begin by saying, "Dearly Beloved," but, of course, I am not going to do that. I am going to give you a history of the problem, and I am most fortunate that I follow Ralph Hopp and Richard De Gennaro, because Ralph told about the first discussion of the ARL in 1936, and Richard talked about Fremont Rider's concern in 1944, so in the field of one-upmanship, I am going to begin with 1897.

The reason I am providing this history is an attempt to put this problem in the perspective that I think it deserves. It is not a new problem. It has been a problem for the Library of Congress since 1897, and it will not go away unless we collectively recognize that there is a problem and then proceed to find a way to resolve it.

The Early History

The card catalog became a problem for the Library of Congress in the very beginning of the modern era. Here is how the Librarian's Annual Report of 1925 described the situation at the turn of the century:

> When the reading room was opened to the public in 1897, the catalogue (on large manuscript cards) was inside the central reference desk in drawers below the circular counter, where it was wholly inaccessible to readers, and wholly without room for growth. That was the only place for a catalogue provided in the building plans. The building lacked and still lacks any space in the vicinity of the reading room that could be converted into suitable quarters for a public card catalogue of any mentionable size. Apparently the only possibility of meeting the situation lay in displacing a few readers' desks and installing modern equipment adequate for immediate needs. Before the year 1900 six of the readers' desks were removed and a dictionary card catalogue containing 90,000 cards had been installed in the space thus obtained.

During the next 25 years the dramatic growth of the catalog continued to be a matter of concern. Even studies of the optimum thickness of catalog cards in 1905 took note of the fact that a thinner stock would take 30 percent less space. The decision to prefer a heavier stock because of its superior handling quality was, of course, an important factor in determining the space the catalog was destined to occupy.

In the Annual Report of 1916, we read that: "The expansion of the public card catalogue is a subject of concern requiring immediate attention." And, to show the befuddling nature of the problem, the report goes on in one of my favorite examples of administrative obfuscation to say: "Limited possibility of provision for immediate necessity suggests consideration of determining a fixed policy." No wonder there was difficulty in coming to grips with this problem!

By 1925, when the public catalog was growing at the rate of 160,000 cards a year, the shortage of space had become really acute because further expansion could only be at the expense of accommodations for readers. After assessing the relative merits of card and book catalogs, the Annual Report asserted that: "Beyond dispute card catalogues are extravagant consumers of both time and space." Then, for the first time, it was suggested that at least parts of the catalog be closed:

> A practical way out of the difficulty will probably be reached by printing in book form large portions of the card catalogue (subject groups or country groups or accession-period groups) and removing from the public catalogue the corresponding card entries. The card catalogue will, of course, be continued for all later accessions to such groups until the annual accumulation of about 160,000 new cards make the printing of supplementary volumes desirable.

But this forward-looking idea came to little because in the next two years it was decided to add 1,344 trays, thereby displacing 16 readers' desks and two reserved tables, reducing the reading room space for readers to exactly 75 percent of its original capacity. And the growth continued unabated so that by 1936 the catalog had to be expanded into the East Room adjoining the Reading Room.

Since this was not a long-range solution to the problem, it comes as no surprise to read in the 1944 Annual Report that:

> An inevitable consequence of the work already accomplished in recording the Library's collections has been the growth of the Library's catalogues and, in particular, the growth of the Public Catalogue. This Catalogue, which on April 1, 1942, contained 5,925,000 cards, had grown by June 30, 1944 to include an additional three-quarters of a million cards. Such a rate of growth threatens the efficiency of a tool, the mere size and complexity of which may well interfere with its usefulness.

The 1950's

Even apart from the size of the catalog, its condition was a matter of concern because its defects (misfiled cards, worn and illegible cards, inconsistencies, lacunae) impaired its usefulness. In 1952, Sumner Spalding, then Chief of the Catalog Maintenance Division, prepared a detailed study describing the imperfections of the Main Catalog (as it was now called) and proposing that it be edited concurrently with the Official Catalog. This effort was estimated to require 68 man-years at a cost of nearly $725,000. Not surprisingly, the project failed to win strong administrative support.

Of course, this proposal did not address the question of the growth of the catalog, but it was not long before the problem was met head on. In 1955, Seymour Lubetzky, then Consultant on Bibliographic and Cataloging Policy, outlined a program for the future development of the Library of Congress general catalogs. Although his recommendations marked a considerable departure from the traditional form of catalog organization, they had been partly foreshadowed

by the 1925 proposal. Specifically, Lubetzky recommended:

1) Division of the catalog into name/title and topical subject components.

2) Subdivision of the topical subject file into two parts by imprint date (before 1951, and 1951 and after) with the intention of publishing the older part in book form; although maintained on cards, the newer part was to be replaced periodically by published book form supplements.

3) Eventually, division of the name/title catalog and issuance in book form according to similar criteria.

4) Abandonment of the Annex Catalog, which had been established in 1938, but never fully developed. The outline of these proposals did not include estimates of either the costs or the time required to accomplish them, but it hardly mattered, because the time for these ideas had not yet come and they did not surface again for many years.

The 1960's

More than ten years passed before the idea of a retrospective Library of Congress subject catalog in book form was revived. In 1967, it was estimated that the cost of preparing such a publication would be a minimum of $720,000 and that, with normal staffing, the job would take five years. For a variety of reasons, however, this topic was not raised for discussion at the top administrative level at this time.

Still the problem refused to go away and at the end of 1968 a paper on the crisis in the card catalogs, prepared by Stephen Salmon, then Assistant Director for Processing Services, analyzed their shortcomings and made recommendations that combined those of the earlier Spalding and Lubetzky reports. This time something happened. Early in 1969 the Official Catalog was divided into name/title and topical subject components and later that year the Annex Catalog was closed. However, the Main Catalog remained in its original dictionary form.

The effects of superimposition had begun to cause concern and within the Processing Department there was renewed discussion of such possibilities as freezing the catalog and starting a new card catalog on new principles, freezing the past and depending on machine-readable records in the future, or somehow combining these approaches. Various documents prepared in the Department reviewed the status of the card catalogs, enumerated the problems of maintaining them and suggested alternatives for solving and alleviating them. The merits and demerits of unified and segmented catalogs were analyzed in terms of various functional requirements, and various types of display of cataloging data were assessed in terms of flexibility, cost, durability, space, ease of duplication, and browsing.

Again, however, no consensus could be reached within the Library. The Reference Department, which is responsible for the Library's reader and

reference services, did not find in any of the proposals adequate insurance for the optimum continuance of these services and for the protection of the needs of current and future research. It proposed the upgrading of the present catalog as a serious alternative. In effect, the Reference Department took the position that, in view of the lack of any convincing proposal, "the chronological or topical division of the public catalog...would be a serious disservice to the public and unacceptable to our reference divisions."

It is worth noting that, in an effort to broaden the forum for consideration of this problem, I proposed at the June 1969 meeting of the Technical Services Directors of Large Research Libraries that it be discussed at the next midwinter meeting. Some interesting points were raised at that time, but afterward there was little or no response to my request that members of the group write to me about problems and suggest dates for freezing the Library of Congress catalogs.

The 1970's

In view of the difficulty of securing a consensus in the Library on solutions to the problems of the card catalogs, the Processing Department made only intermittent attempts to revive the issue in the next several years. One of the most extensive statements of the problems and possible solutions is embodied in the 1972 paper that was distributed to you before this meeting. [The paper referred to here is included as Appendix A.] It reached the following conclusions:

1) Revision of Library of Congress subject headings cannot be carried out in the framework of the present Main Catalog; closing at least the subject component is a mandatory condition for their improvement.

2) A case can be made for maintaining an open-ended name/title catalog by using the linked-heading technique to introduce changes with the hope that its effect on the texture of the catalog is not too adverse.

3) Adoption of a new filing arrangement is possible only for components of the catalog that have been closed, because the cost of refiling the existing catalog is too great.

4) A case can be made for the proposition that subject catalogs and bibliographies are best organized on the basis of defined time periods. Thus, consideration could be given to dividing the Library of Congress subject catalog in card form by ten-year periods.

5) Chronological division of the name catalog would not reduce the cost of establishing new names if the old file must be taken into account.

6) Loss of benefits of a unified catalog could be offset by the advantages of the new one.

7) A cut-off date by cataloging date is preferable from an administrative and operational viewpoint.

8) None of the proposed alternatives is specifically directed to the improvement of the physical and editorial condition of the present catalog, but chronological division of the catalog would make the old part more amenable to efforts to achieve those objectives.

At the time the 1972 paper was prepared, the prospects for early automation of the catalog did not appear very bright; it seemed that many years would elapse before all current catalog records would be converted to MARC form as they were produced. Moreover, the RECON studies had made it clear that large-scale conversion of retrospective records was not a realistic possibility. Nevertheless, the Reference Department felt that no decision on the fate of the card catalog could be made until there was a Library commitment to the extension of MARC to all current cataloging. The Reference Department generally held that automation offered the greatest promise for resolving the problems of bibliographic control, at least on a current basis. So, once more, active discussion was suspended.

Then, just this past year, the prospects began to improve and the likelihood of a complete, current, on-line catalog by 1979 or 1980 now seems quite strong. This led to the formulation of a new approach that John Rather will describe in his presentation.

I am pleased to tell you that this approach has elicited favorable reaction from the Reference Department, although there is a natural disposition to wait and see whether the promise of automation will indeed be fulfilled. This favorable reaction is also premised on further study and discussion of the future of the old catalog, which is the means of access to the existing collections of the Library, and on an adequate supporting reference structure. Thus, we seem to have a basis for planning the future of Library of Congress catalog control in a way that will at last resolve a problem that, in one form or another, has troubled the Library for nearly three-quarters of a century.

* * * * *

JOHN C. RATHER: Somebody, speaking no doubt from bitter experience, said a card catalog is a place where bibliographic records get lost alphabetically. So as not to get lost in this presentation, I am going to try to give you an overview of some problems that are endemic to card catalogs before getting to the substance of our present thinking.

I am not going to review the paper that has been distributed to you. [The paper referred to here is included as Appendix B.] There are many aspects of this problem that could be discussed, but it appears to me that the one that is really central to all of our concerns has to do with the strong probability that we will, in fact, have fairly complete machine-readable data bases in the foreseeable future. When we do have those data bases, will it be feasible to continue to maintain a dual system, and if we cannot maintain a dual system, what relationship should exist between the machine data base and the existing card catalog?

There are lots of things that could be said about what the machine system would be like, or what you would do with the old catalog if you had closed it off, but, interesting as those topics are, I will not get into them at this point. No doubt some of these questions will surface in the reactor panel, so let us concentrate on the central problem.

In my whimsical remark, I referred to the card catalog as a place, but that is not quite right. Strictly speaking, the card catalog is a living organism and, as a living organism, it is subject to growth, to change and to deterioration.

Let us look a little bit at how this has worked in terms of the Library of Congress card catalogs.

[Figure 1] shows graphically the rapid growth of the Library of Congress catalogs over the period for which we have fairly accurate figures about their size -- that is, from approximately 1942 until 1974 with a projection to that magical date of 1984.

In 1944, the Main Catalog contained about 5.0 million cards. Today, it has 18.3 million cards, so it is more than three times bigger than it was 30 years ago. Interestingly enough, to show the perils of predicting growth, in 1955, Seymour Lubetzky thought it would take until 1978 to reach the figure that we reached on June 30th last year.

The growth of the Official Catalog has been similarly dramatic. In its first recorded period, it had about seven million cards, and today it has in excess of 21 million cards. It is a larger catalog because it contains various types of catalog control records (name authority cards, series treatment cards) and records for certain types of materials that are not represented in the Main Catalog. Included are such things, for example, as cards for music which are available to the public in the catalog of the Music Division, but are not included in the Main Catalog itself.

You see in Figure 1 a very sharply ascending growth line nothwithstanding the fact that this is plotted on semi-log paper. There is no indication that, at the present rate of cataloging, the growth will tend to taper off. If this is so, we can predict that in another 20 years the catalog will have doubled in size, which is not a nice thought.

The thing about growth, you know, is that the catalog is a little like the camel with its nose in the tent. A useful beast no doubt but, on a cold night, he has a way of elbowing the Bedouin out in the open because he is so big and smelly.

It is perfectly obvious that growth has very serious effects on the quality of the catalog. As the catalog grows in size, it becomes increasingly less amenable to change. There are many people, mostly those who have not much to do with the maintenance of catalogs, who are unaware of the rate at which they change. Figure 2 shows some material from a study of changes in Library of

FIGURE I

GROWTH OF THE LIBRARY OF CONGRESS CATALOGS, 1942-1984

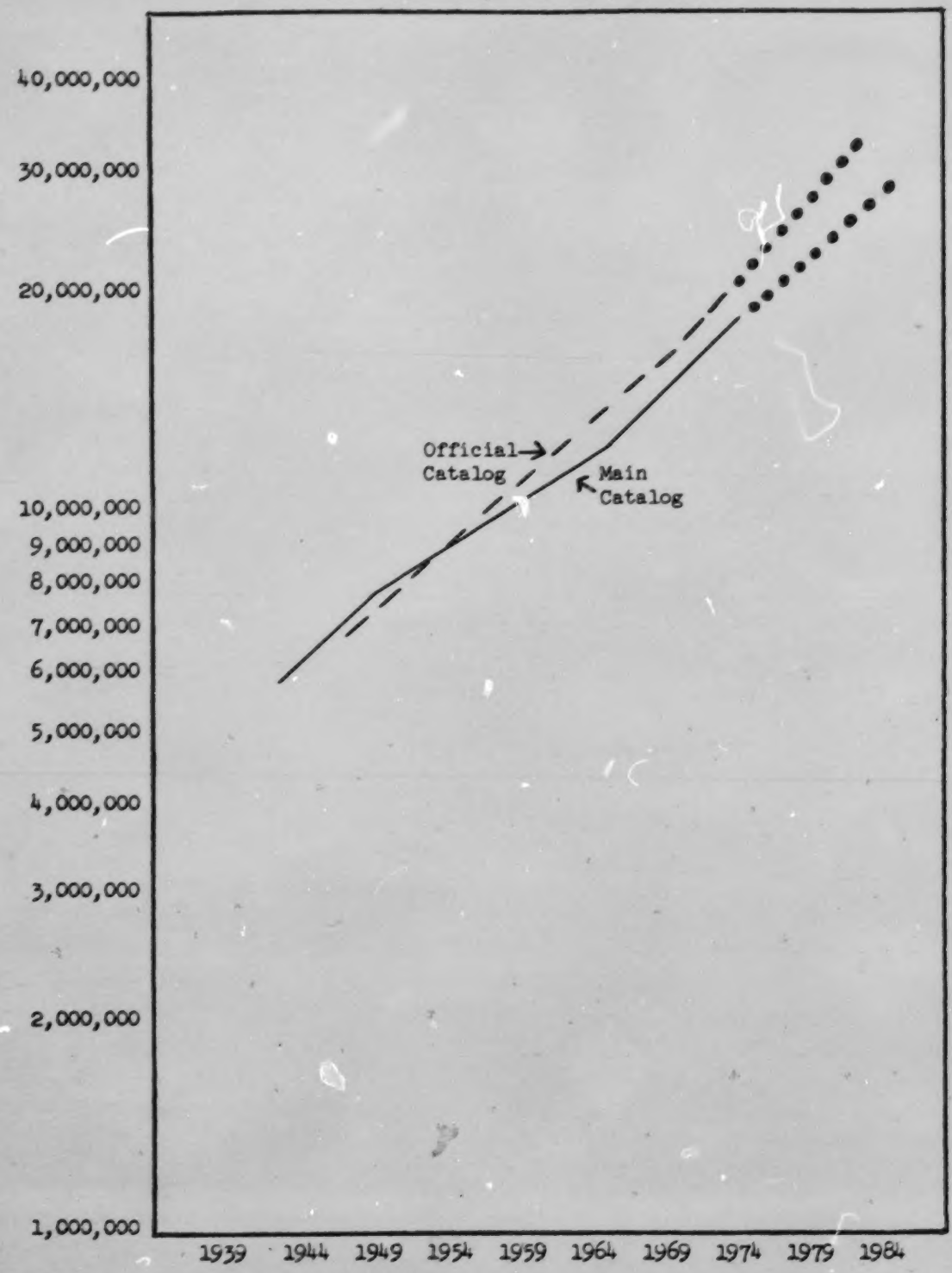
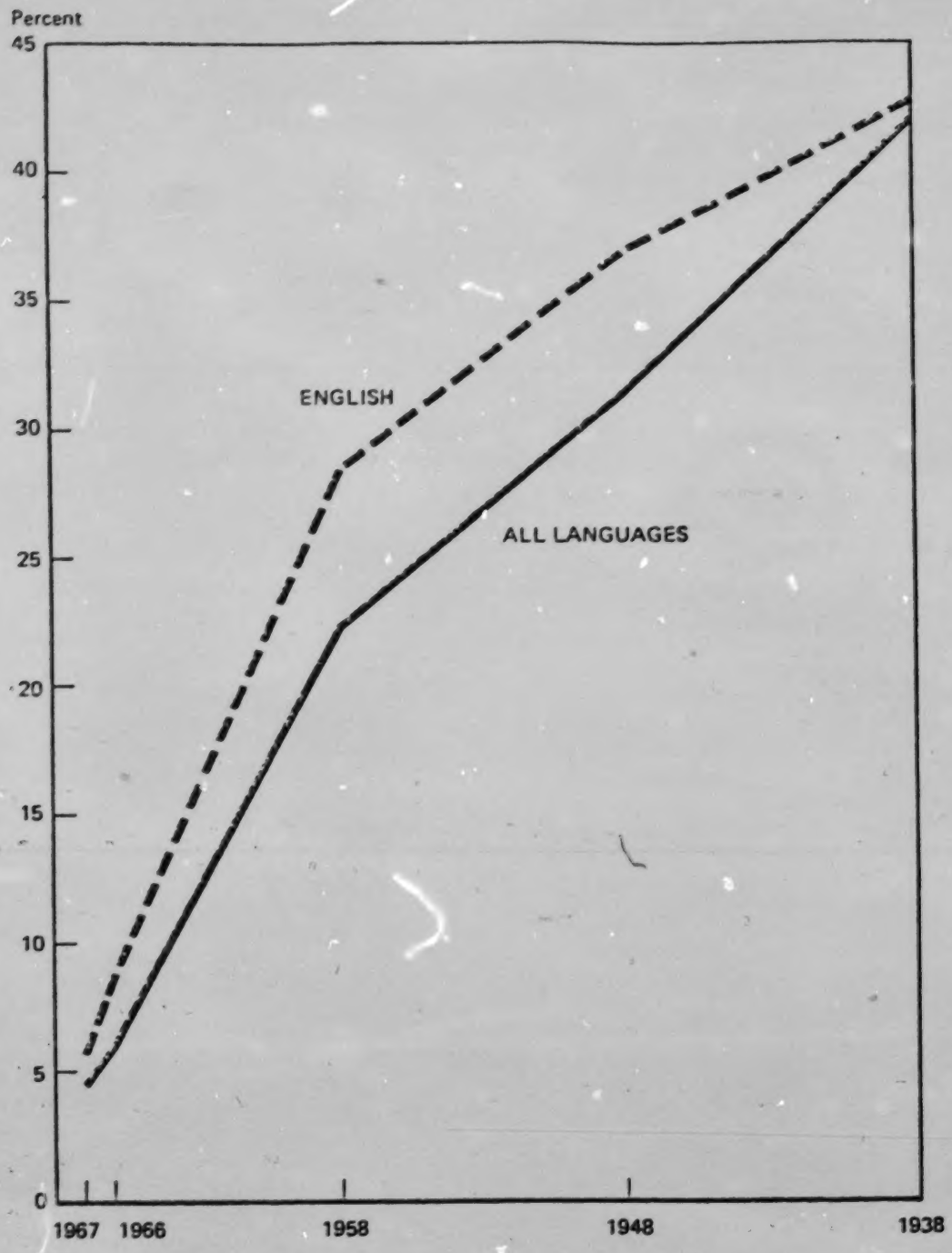


FIGURE 2

PERCENTAGE OF CHANGE IN FIVE SAMPLES
OF LC PRINTED CARDS



Excerpted from RECON Working Task Force. Conversion of Retrospective Records to Machine-Readable Form. Washington, Library of Congress, 1969. p. [146]

Congress printed cards. This was done with a series of samples of printed cards of different dates, and the rise in percentage of change going from left to right shows what happened five years after the cards were printed, ten years, 20 years, etc. Again you see a sharply ascending line.

This figure is from an analysis that we did about the time of the first RECON study. It separates English from other languages because the MARC pilot project was then limited to the English-language records. What we have here is the evidence that change continues as long as the card catalog remains alive. At the end of a 30-year period in this particular study 40 percent of the oldest cards had been changed at least once during their lifetime. This was a comprehensive study of change. It should not be confused with matters so drastic as changes in form of headings. It encompassed any type of change, but, as you may have judged from remarks you heard earlier, changes in subject headings were a fruitful source of these statistics.

Change is not attributable merely to the correction of outright errors. To a large extent, it is a consequence of the activity of the law givers, who are bent on evolving the perfect cataloging code; the do-gooders, who bleed for somebody; and just the general gadfly, who tells you, "Don't you know that, on the basis of scholarly opinion, this cannot possibly be the right birthdate?"

Now the problem of deterioration is evident to anyone who has dealt with an old catalog. You see the worn and smudged cards. This does have a positive benefit. A good many years ago Nathaniel Goodrich did one of the pioneering studies of catalog use and published his results in an article called "Top Soil," because he based the analysis of use on the cleanliness of the cards or, to be more exact, the lack of cleanliness. Clearly, the ones that were smudged had been used. So you see, we get positive benefits from deterioration. Unfortunately, as the fingers of generations rub over penciled call numbers, the wear does tend to have an adverse effect on retrieving books.

I have attempted to show in Figure 3 a matrix that examines methods of effecting cataloging changes. I will go over it carefully, so do not assume that you must comprehend it at a glance. Basically, this table relates to rule changes that alter the filing forms of name or subject headings. It is not an analysis of what one does to cope with ISBD(M), ISBD(S), or things of that sort. Furthermore, the change is assumed to be limited to those cases where a new work involves an entity that already has an outmoded heading. It is not realistic to apply a new set of cataloging rules, however marvelous they may be, to dormant headings, so to that extent the catalog will always be a reflection of the past. It is important also to realize that new rules do not automatically make all old headings obsolete. So, when we talk about the effect of new rules on the card catalog, we must remember that we are talking only about a subset of the old headings to be used in current cataloging.

Basically, there are five methods of making catalog changes set forth in this matrix. The revision of old entries is the usual Library of Congress practice. This has traditionally involved reprinting the cards so that you have complete wiping out of the past and a neat representation of the brave

FIGURE 3

EVALUATION OF METHODS OF EFFECTING CATALOGING CHANGES

Method	Compatibility with new rules	Consistency of entries	Dispersion of entries	Cost
Revision of old entries	Yes	Yes	No	$$$$$
Relocation of old entries	Yes	No	No	$$$$
Superimposition	No	Yes	No	$
Linked headings	Yes	No	Yes	$$
New catalog	Yes	No	Yes	$$$

new world. It can be, of course, done by hand, but that is a matter for an individual library to determine.

The second method of relocation of entries is sometimes called the guide-card technique. In this one, you simply move the old entries with the old form of heading to the location of the new heading and trust that a guide card will make everything completely clear. Of course, this entails very severe problems in file management. If an old entry is removed from the catalog, a filer must somehow recognize that this old heading, no matter what it really says, belongs someplace else, and interfile it under the new form. Nevertheless, relocation of old entries is a technique that has been used in libraries. At the Air University some years ago, guide cards were used instead of writing the subject headings at the top of the card, so they were in a fine position to adopt new subject headings because they only had to change the guide card.

Superimposition hardly needs any introduction. It is a policy of simply continuing to use old headings where they exist without making any change in them at all. The new rules are applied only to brand-new headings.

The linked-heading technique says that for new entries you will use the new headings and provide a reference to the place where the old entries under the old heading will be found and vice versa. Yale University apparently has done this for many years with subject headings, so that both the old and new forms co-exist in the catalog with the entries that are appropriate to them. The new catalog, of course, is a positive way of saying closing the old catalog.

The first column considers the compatability with the new rules, and basically, it attempts to answer the question: Are all headings used in current cataloging compatible with the rules? Clearly, if you revise the entries, the answer is yes, and similarly with relocation. Indeed, it is only superimposition that does not guarantee a new form of heading for a new entry. This first column might be dedicated to the law givers, who want to see everything very neatly laid out. Of course, obviously the "no" opposite superimposition is an offense to all they hold dear.

The column on consistency responds to the question: When a heading is changed, are headings used on old entries consistent with those on new entries? Clearly, if you revise the old entries, the answer must be "yes," but if you merely relocate them as in the guide-card technique, it stands to reason that the old entries still have the same old headings on them, or at least, they have them to the extent that they may only be corrected by pencil, if that is possible. So that if you were in the business of supplying copies of such entries, they would be quite inconsistent.

Whatever the other drawbacks of superimposition may be, it gives you consistent entries. Good or bad, the heading is the same on all of the entries to which it applies. But in the linked-heading technique and in the new-catalog technique again you have a cleavage between the present and future and the past, because the old entries remain unchanged.

The column on dispersion of entries addresses a question of vital concern to reference librarians: When a heading is changed, is it necessary to search in more than one place to see all of the entries? And you see that, in the first three methods, the answer is "no," because by one means or another all entries have been brought together, but in the last two methods, linked headings and new catalog, you do have two different files.

Owing to the nature of this matrix, it is not possible to show the real difference between the linked-heading method and the new catalog. The linked-heading method applies only to those headings that are actually changed, whereas starting a new catalog makes a cleavage among all entries. To be more precise, if an entity is represented in both the old and the new catalog, there is an automatic cleavage, whether the heading is changed or not, and of course, this is a very serious consideration.

The last column attempts to suggest the relative costs of these methods impressionistically by the number of dollar signs. This column is of lively interest to administrators for whom the price tag is important. Obviously, revision of old entries is the most expensive method. Superimposition, with its adherence to the status quo, is the least expensive and therein lies much of its appeal. The only costs accrue from the occasional need to provide new references or to reprint small groups of cards. Offhand, it might be supposed that relocation of old entries under a guide card for the new heading would be a fairly cheap solution to the problem. But shifting blocks of entries in a multi-million card catalog is a labor of Hercules with a price tag to match. The potential confusion caused by unaltered cards also may prove expensive in its own way. The linked-heading method is quite thrifty with the added costs stemming from the interlocking references. Starting a new catalog costs a little more because an entirely new reference structure must be built.

We have reviewed the methods by which change has been effected in the past, and by which it might be effected in the future. You might bear this chart in mind when we talk about the implications of the Library of Congress activities for other libraries.

The advent of the machine-readable catalog records -- the initiation of MARC in the middle of the '60s, and quite specifically in 1968 with the start of the present MARC Distribution Service -- has clearly introduced a new factor, because what the Library of Congress has been doing for itself and also for other libraries is bringing into existence a body of machine-readable data which at some point may serve as the source of bibliographic information in the same way that the card catalog now serves.

In my paper[1] there was a discussion of some of the milestones that we hope to reach within the next five or six years. The expectation is that by the end of this decade that all current cataloging of the Library of Congress would go directly into machine-readable form. By that time we will have developed the Core Bibliographic System and the associated user systems that will

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[1]See paragraph three on page v.

permit the data base to be consulted with at least the degree of flexibility afforded by the present card catalogs. When we come to that point, we will be faced with a critical administrative problem.

The present expenditure for the maintenance of the card catalog is in excess of $600,000 a year. It is anybody's guess what the cost will be in 1980. It follows, therefore, that one comes hard up against the question: Is it feasible to maintain a dual system, to have a machine data base which is complete with respect to current output, and at the same time to continue to file entries for these same records in the card catalogs, which by that time would be of really very great size? It seems to us that it would be fiscally irresponsible to chart a course that took that as a necessary operating condition. We simply could not afford to maintain these huge instruments at the cost that will then be necessary and allow the camel to continue to sleep in our tent if, indeed, he has not knocked the whole tent down. So we will be forced to close the catalog. There is nothing problematical about the inevitability of this decision. The date when it will have to be made may be uncertain but the necessity of making it is not. When this situation occurs, we will face this critical question: What should be the relationship between the MARC data base at that time and the existing catalog of non-MARC cards?

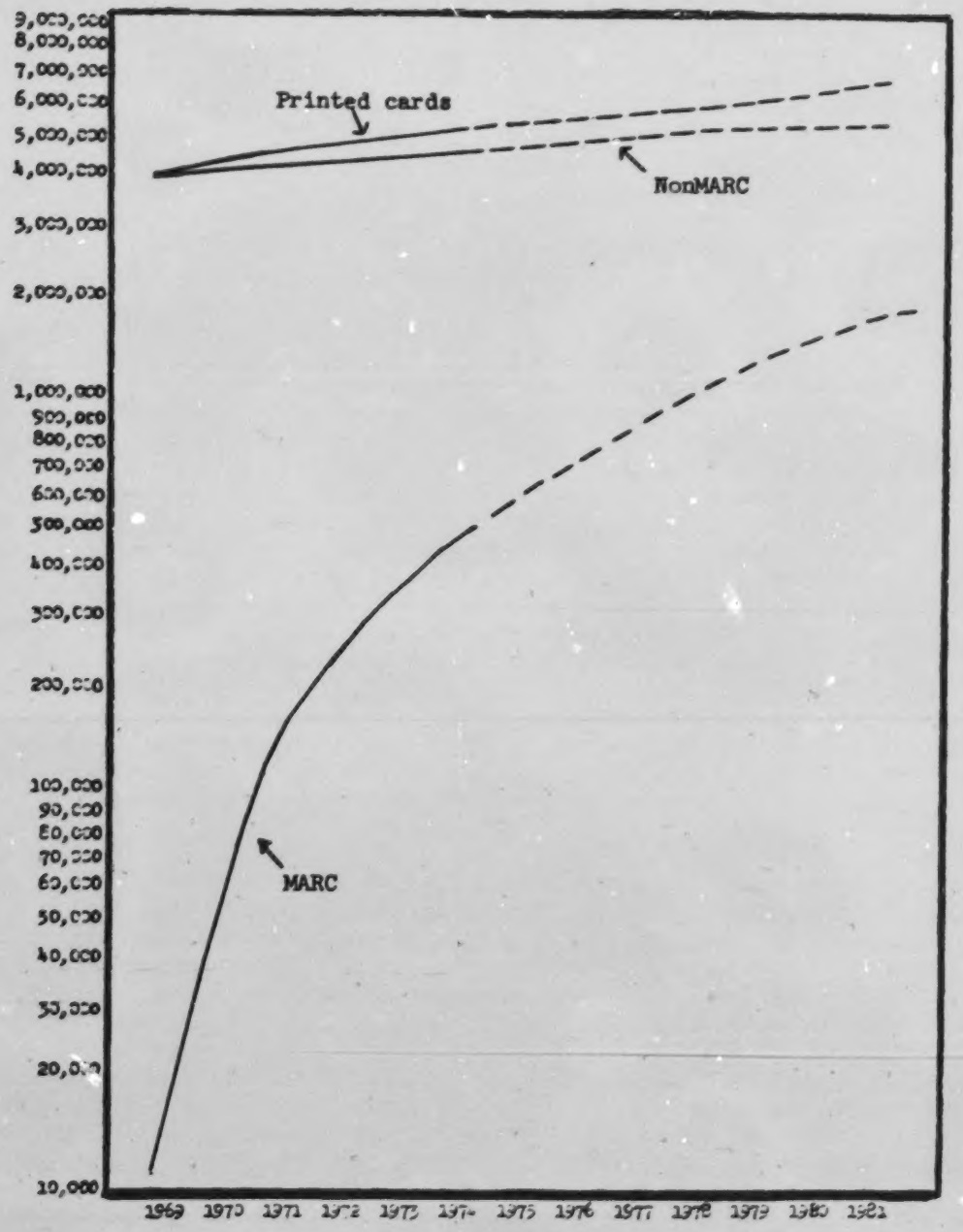
There are several conditions we want to consider. As a preliminary, let us look at Figure 4. It traces the growth of printed cards and the MARC data base, and as a separate line, the number of printed items that are not in the MARC data base. This also is plotted on semi-log paper. The rise of MARC is dramatic but, as you can see, the gap between the two files is nevertheless very wide. At the present time we estimate that there are about 5.3 million printed cards. The MARC data base is slightly under 500,000 titles, so there is a deficiency of about 4.8 million records. As we expand MARC coverage, we will gradually move to the point where that deficiency will stabilize, and if it is indeed true that by 1979 or 1980 we will be converting all current cataloging to machine-readable form, we will at that point have a deficiency of about 5.1 million cards. That is to say, 5.1 million of all of the items that the Library of Congress has ever cataloged will not be in machine-readable form. On the other had, we will have a machine data base of about 1.3 million cards at that point.

Now the RECON studies have shown that the probability of a large-scale retrospective conversion project is practically nil. If you consider how long it has taken us to get to this point in converting our current cataloging and how much longer it will take before we can expand to all areas, you will see that the likelihood of being able to convert some five million retrospective cards in any useful time is very slight indeed. So that gap is going to remain for a long time, if not forever.

Now what is the significance of that gap? If we wish to rely on the MARC data base as a source for current cataloging information so that we can develop within the Library of Congress a true on-line cataloging system -- not something you simply go to after you have done all the cataloging someplace else and input your record, but a place where a cataloger could sit and consult the necessary files (the name authority files, subject authority files,

FIGURE 4

Actual and projected growth of Library of Congress cataloging records, 1969-1981



shelf lists, etc.) in the machine data base, and be able in a high proportion of the cases to produce his catalog record at the terminal -- then it is clear that one must regard this machine data base as self-sufficient. If you do not consider it self-sufficient, if you obligate yourself to the necessity of turning to another source, the card catalog, to complete your cataloging, then on-line cataloging as such cannot exist.

I will return to this in a moment. We also have very strong representations -- I think very well considered representations -- that there should be a greater effort to achieve meaningful, decentralized input to a national data base. Once again, if there is going to be decentralized input, it is mandatory to have the name authority and the subject authority files that govern this data base equally well known to all potential participants in such an effort. Clearly, that would not be the case if a substantial proportion of the names that affected cataloging were not in machine-readable form at all, but simply residing in the Library of Congress card catalog.

It is sometimes suggested that publishing such a list would be useful, and so it might be up to a certain point, but I think it is easy to demonstrate that a mere list of established forms of headings is not usable if you lack any means of relating that name to particular works.

Figure 5 is a list of 46 headings that the Library of Congress has established where the forename and surname are identical. It is Müller, Hans, embellished in various ways. I can assure you that those are all established forms, but if I were to pass among you, say, ten books that said on the title page "By Hans Muller," good luck to you in matching them up. So merely publishing a list of established forms of names and their associated references does not solve the cataloging problem. There really has to be some hook to hang the heading on, and that is the bibliographic record.

That leads us back to the total conversion problem. My paper suggests some lesser alternatives for retrospective conversion. I will not go into those now. They are interesting to consider and discuss, but in view of the number of records, even the least of them involves a tremendous effort and expense.

So this brings us finally to what we see as a necessary condition for continuing. That is, taking the point of view that when we have a viable, automated system, a way of consulting the records that is at least equal to the card catalog in its present form, and all of our current cataloging is in machine-readable form, we must consider that it is the machine data base against which we are cataloging.

To operate in an on-line mode, LC catalogers and catalogers in other libraries who wish to contribute to a central data base must be able to establish new headings in relation to the machine data base without respect to any other data base. This means that if you had a Hans Müller case, and the MARC data base had only a third of those names on that list, you would not concern yourself at the moment of establishing a heading whether or not a

FIGURE 5

HEADINGS FOR AUTHORS WITH A COMMON NAME AS ESTABLISHED IN THE LC OFFICIAL CATALOG

Müller, Hans
Müller, Hans, 1854-1897
Müller, Hans, 1867-
Müller, Hans, 1872-
Müller, Hans, 1876-
Müller, Hans, 1880-
Müller, Hans, 1880-1945
Müller, Hans, 1882-
Müller, Hans, 1883-
Muller, Hans, 1886-
Müller, Hans, 1891-
Müller, Hans, 1896-
Müller, Hans, Apr. 20, 1900-
Müller, Hans, Oct. 22, 1900-
Müller, Hans, Oct. 27, 1900-
Müller, Hans, 1902-
Müller, Hans, 1906-
Müller, Hans, 1907-
Müller, Hans, 1908-
Müller, Hans, 1908- (of Granichen (Aargau))
Müller, Hans, 1912-
Müller, Hans, 1913-
Müller, Hans, 1914-
Müller, Hans, 1918-
Müller, Hans, 1920-
Müller, Hans, 1921-
Müller, Hans, 1925-
Müller, Hans, 1927-
Müller, Hans, 1928-
Müller, Hans, auto mechanic
Müller, Hans, Dr.
Müller, Hans, electrical engineer
Müller, Hans, Gewerbelehrer
Müller, Hans, lawyer, of Berlin
Müller, Hans, military surgeon
Müller, Hans, of Altstätten
Müller, Hans, of Berlin
Müller, Hans, of Bremen
Müller, Hans, of Karlsruhe
Müller, Hans (of Nürnberg)
Müller, Hans, of Vienna
Müller, Hans, of Zürich
Müller, Hans, writer on art
Müller, Hans, writer on law
Müller, Hans, writer on moving-pictures
Müller, Hans, writer on social policy

heading for this person might have been established in the past as Müller, Hans, of Vienna. If the book gave you some equally good way of differentiating his name -- for example, if it revealed when he was born -- you could use that, and thus would be establishing the heading only in relation to the 15 or 16 names in the MARC file. You would not be concerned with what existed in the past.

This is really an essential condition for efficiency, because if you do not free the cataloging operation from the necessity of constantly relating to the past, there is no possibility of having any true on-line cataloging and no possibility of meaningful, decentralized input.

There are a series of problems here, of course, because when you get to things like shelflisting, you have the same problem. Shelflisting is done in relation to the totality of all of the call numbers that a library has established in that class, and particularly as done at the Library of Congress, where shelflisting is a form of close classification, this is a very intricate and costly process. For that reason, among others, we have been considering the possibility of a different form of shelflisting that would emancipate us from having to see the whole file in order to add a new item to the classified order of materials.

The relationship between the old catalog and the new machine data base is a very delicate one. After all, if at the time of closing the catalog, we have established according to our estimate more than three million headings, many of them at considerable cost, we have a considerable investment in a large body of valuable information.

It is reasonable to ask: How would this information be used with respect to corporate names? I think one can safely say that, since the Library of Congress rarely establishes any corporate name without research, the first place that the cataloger would look would be in the old catalog and he would, in fact, make use of this information. It would not be lost, and the possibility would be open to make a link, a reference in the new data base, that pointed to the form of name used in the old catalog. In the case of personal names, however, one could not undertake to do that. It stands to reason that going through all of those Hans Müllers for the luxury of being able to point to the old form of name is not a realistic way to operate. As a matter of fact, it is very difficult to operate as we do now, and it is not unknown for us to make misattributions.

The serious question for this group, of course, and the one that we will want to get into with the reactor panel and later, is: What are the implications of such an action by the Library of Congress for other libraries? Clearly, each library has to consider, in the light of its own resources, its own needs, and clientele, many, many conditions that the Library of Congress cannot possibly anticipate. Each library has to decide what is the best solution for it. The methods for effecting change that were described earlier are the methods that are open to any library faced with large-scale or, for that matter, relatively small-scale changes. Some libraries beginning to feel the strains that the Library of Congress does, would opt for starting a new

catalog. This has been done in the past. The New York Public Library did it as a way of coping with the growth and deterioration of its catalog. The National Agricultural Library did it as a way of adopting the Anglo-American Cataloging Rules. So closing a catalog cannot be so unthinkable, because these libraries not only thought about it, but they did it. Of course other libraries having smaller catalogs and compelling reasons for doing so might resort to one of the other techniques that have been suggested.

I think it may be helpful to say in this connection that we are not dealing with a problem that is capable of a perfect solution. I am not even sure there are any good solutions, but I am reasonably sure that there are some solutions that will, at least as far as the Library of Congress is concerned, be forced upon us. John Updike once wrote that actuality is a running impoverishment of possibility. I think that those of you concerned with the administration of large research libraries see the truth of that every day in your careers.

There is a tendency in talking about problems of this kind to consider them from the standpoint of some intellectual framework, to deal in terms of concepts and what ought to be, and to yearn for perfection. This is where we frequently fall into the hands of the law givers, whose task is frequently limited to chiseling things in stone and not to really implementing what they decree.

As an antidote for this kind of thinking, I would like to close by quoting an observation that a wise old coot named Sam Lewis once made. He said: "People are hung up on concepts. They can't solve problems because the solutions interfere with the concepts."

* * * * *

MR. WELSH: For those people who tend to think in negative terms, it is easy to dismiss this problem simply in terms of closing the card catalog. For those of us who try to think in positive terms, this is an opportunity to start something afresh and utilize the fantastic power of the computer. It would take the Processing Department at least a full day to try to impart to you our feeling of confidence about the state of automation. You cannot have a Henriette Avram on your staff without coming away with the feeling that we are on the threshold of brave new developments. In fact, they are already here.

It is unfortunate that there is not time to give you the full preview. I hope that all of you have read John Rather's paper because there are many assumptions there that are important to all of us. We are, for example, producing some of our book catalogs from machine-readable copy now. The plan is, and it is moving along very rapidly, to have all of our book catalogs produced from machine-readable copy, which will decrease the delays in the issuance of bibliographic data that Mr. Rosenthal spoke about. Specifically, on the MARC data base, we now have all current English-language cataloging, all French,

and all AV. As of the first of January, we are beginning to input German, Spanish and Portuguese. The 1976 budget request includes staff for the records in Italian, Romanian, Scandinavian and Dutch. Hopefully, the 1977 request will include Cyrillic; 1978, other roman-alphabet languages; and 1979, nonroman languages. This is the plan, but the important thing now is that by the end of calendar year 1975, we will have all English, all French, all AV, all German, all Spanish, and all Portuguese, about 60 percent of our current cataloging going into MARC form. These languages are terribly important to all of you out there, so we are moving ahead as rapidly as possible and the plan is quite clear. Thank you.

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THE VIEW FROM THE LARGE RESEARCH LIBRARY

JUDITH CORIN: Mr. Rosenthal has provided a view of broad trends and long-term developments in the large research library. I would like to share with you some of the more immediate concerns related to specific changes that have taken place or appear to be imminent.

There has been a great deal of discussion, much has been written and we have heard impassioned reactions to desuperimposition, proposed LC subject heading changes and LC's Cuttering system. These reactions are hardly surprising, for large libraries under the best circumstances look forward to change with some trepidation due to the size of their collections and records. When you add budget constraints, the problems may seem insurmountable. Concerns expressed relate not only to processing, but shelving arrangements and to library users, both patrons and staff.

Desuperimposition, it is felt, would require us to discontinue some long standing practices and to alter many of our records. We are presently establishing only those entries which are new to our records according to the Anglo-American Cataloging Rules. With the implementation of desuperimposition the AACR would be used regardless of any previous entry. How to or whether to link old and new entries is a major issue. The largest number of these changes would occur in corporate entries, which would be entered directly under the name of the group rather than by place or the parent institution, resulting in a large volume of cards under nondistinctive words, such as "university" or "institute."

Personal author entries will also be affected as new entries will be made under the form of the name favored by the author. Pseudonyms and initials will be used rather than full or established names. Prefixes in foreign names will pose another problem. We will be entering the Italian name "D'Annunzio" rather than "Annunzio, D'" for example.

These changes will also create discrepancies between old Cutter numbers and new entries. Unless a program of reclassification is undertaken, this change will affect the arrangement of volumes in the stacks. Processing departments will be addressing questions relating to card modification, shifting of cards in the Public Catalog, and the preparation of needed reference and authority files. The ordering sections, process and standing order files and serials records may have to be reviewed. Bibliographic search staffs will desuperimpose entries from existing bibliographies and public service units will have to devote time to the retraining of library patrons and staff.

In addition to desuperimposition, LC is considering subject heading changes. It is probable that if they close their catalog, new subject headings will not necessarily relate to previous headings. If they do not close the catalog the scale of change is uncertain, although based on what we see

as the current rate change, we presume that changes will still be substantial. There are many benefits to be derived from a revamping of LC subject headings, such as modernization, reform and simplication of terminology: "European War, 1914-1918" to "World War I, 1914-1918" or "Electronic Calculating Machines" to "Computers" or "Women as Doctors" to just plain "Women Doctors." It is also possible that fuller coverage may be provided in the use, for example, of duplicate but reversed headings for local geographic interest -- "Agriculture - California - Los Angeles" and "Los Angeles - Agriculture." This would increase the number of cards for affected entries by 40 percent.

We have discussed three alternatives for dealing with desuperimposition and subject heading revisions:

1) Maintaining a single card catalog with both forms of entry and providing a "see also" network.

2) Starting a second catalog using AACR and providing a "see also" network between the old and new catalogs.

(In both of the above instances, a decision would have to be made as to whether division would be based on date of imprint or date of cataloging.)

3) Maintaining a single card catalog, changing headings on short files to agree with additions under AACR and physically moving long files into AACR locations without changing entries. "See" references rather than "see also's" would be provided. This option would require maximum single time work, but a minimum long-range time investment.

The question of adopting the LC Cuttering system must be considered as a local issue and resolved individually. Those libraries maintaining closed stacks will have less of a problem in adjusting to this change. However, the value of consistency in classification for open-stack collections is a question that must be considered. Open-stack collections with scattered holdings of works, editions, translations or authors will have potential effect on the user who may have developed a dependency on these volumes being shelved together in the stacks. The benefits, however, of adopting LC Cutter numbers would derive from time saved in processing. Any way of getting books on the shelves more quickly and economically, while reducing variations in cataloging between libraries has much to commend it. And so the trade-offs must be considered.

These are some of the issues that we have been studying, and we are going to be raising many questions, but not for the purpose of trying to influence LC to desist from any plans for change. We do not question LC's need to plan for change. We recognize their problems of coping with internal work loads. We also recognize the great value of developing a systematic and consistent bibliographical data base which appears to be their goal. Our growing

dependence on and cooperation with LC however creates a need for more communication and dialogue between us -- and here we do have feelings of concern and uncertainty. We would like to feel assured that changes occur in an organized sequence of events and know that LC will announce its decisions regarding changes well in advance of implementing them. Large research libraries need as much as six months to a year for preparation, depending on the extent of change.

There are questions that I think we should be raising such as whether or not LC plans to desuperimpose headings already in the MARC data base and if so, how would this be accomplished? We would like to know if authority information on newly desuperimposed headings will be available, as this would facilitate local generation of machine-produced authority cards and cross-references. We have questions regarding the handling of serials: 1) Is LC considering desuperimposing serials at an earlier date than monographs; if so, why and how would they reconcile the conflict in the public catalog? 2) How is LC planning to handle catalog and serial department records for current serials and multi-volume monographs? And many more.

Should we not be planning together and responding to these questions in advance of LC implementations so that we may all realize the possible advantages in these changes?

* * * *

JOSEPH A. ROSENTHAL: As Ms. Corin implied, both Berkeley and UCLA have had groups addressing these problems during the past year, and both groups recently submitted preliminary or Phase I reports, partly in preparation for this program. In the work that these groups have done, we have been very appreciative of the willingness of the Library of Congress to talk with us and to make available pertinent documentation. I am not a member of the Berkeley group, but I have close liaison with them, and I would like to mention a few of the most significant points in the Phase I Berkeley Report.

The Berkeley and UCLA Groups considered much the same options that Ms.Corin outlined, and those options were regarded as the most viable and possible in relation to desuperimposition. The Berkeley recommendation at this time (and I should indicate that this is the report of the Future of the Catalogs Subcommittee and will not necessarily become the policy of the Berkeley Library) is that we should not close our catalogs simply because of impending desuperimposition. Although desuperimposition by the Library of Congress would be a very strong inducement to close catalogs, nevertheless, we do not feel that it is a sufficient inducement. If desuperimposition is adopted by the Library of Congress, the feeling of the group at this time is that we should continue our existing catalogs, transferring files under superimposed headings to new desuperimposed headings. We should not start

a new catalog either by date of cataloging or date of imprint or continue our existing catalogs with split files.

The Berkeley Group, and I think the UCLA Group as well, has identified two very important technical goals. We feel it is most important to aim for the reception and/or the input of all current cataloging in machine-readable form. Why? Because the machine-readable format will give us the flexibility we need to accommodate change and the capability to distribute and to exchange data within our own library and with other libraries. A second goal to which we are very much committed is a machine-based authority file. Here we are talking particularly about name authorities and series information, because in large part the goal of a machine-based subject authority file has already been met, thanks to the efforts of the Library of Congress and other libraries.

We recognize certain areas as being particularly difficult. These problem areas are not mutually exclusive; when you get then in combination, they are really bad news. One is serials. A second is one that I talked a little about before -- bibliographic communication and coordination with the immediately adjacent levels of activity, the branch libraries, other University of California libraries, other libraries in California and the West, and, of course, our direct contact and communication with the Library of Congress. The reception and exchange of data between and among these adjacent levels of activity, and our ability to communicate what we believe are areas of common interest and common problems is of prime importance, as well as prime difficulty.

I would like to read just a few statements from the Berkeley Committee's Report concerning branch libraries.

> Special problems are posed by the Berkeley system of 21 branch libraries, each with its own card catalog. Although the branch catalogs are exceedingly costly to maintain, there are no simple substitutes. Each branch is a special library with a special collection serving a specialized clientele. If it is to satisfy branch needs, a future catalog should provide: 1) some means of incorporating into a central record materials now locally cataloged; 2) some mechanism for accommodating local modifications to centrally cataloged materials, and as a subset of that latter point, an indication in local public records of special locations for reference, reserve and other branch subcollections and adaptation of central cataloging to meet needs of special clientele; for example, additional added entries, modified subject headings, addition of geographical and foreign subdivisions, etc.

I mention these points not necessarily because I am completely sympathetic with them. They are, however, vitally held concerns of our line librarians, librarians who serve a large and vocal clientele in our libraries, and I think they are problems with which many of the libraries represented at this meeting are well acquainted.

I would ask: Apart from the consequences of the closing of the catalog of the Library of Congress and apart from the consequences of desuperimposition, are there compelling reasons per se for the University of California, Berkeley, and other research libraries to close card catalogs right now? A vital consideration here is the present and future costs of maintaining what we now have. Do we know what those costs are? We at Berkeley have some figures, but we have not presented them, for we have not yet outlined them adequately. Can we compare these costs and the future expenses of continuing our present card catalog with alternatives? We know, for example, that in all probability it costs us upwards of $100,000 a year simply to file into our catalogs. And these are by no means the only costs. Although we can estimate current costs, we find it difficult at this point to know with any precision what future catalog options will cost, much less to guage satisfactorily the benefits or disadvantages that these options will have for our users.

A consideration in favor of closing card catalogs is the present unsatisfactory distribution of data. The branches have access only to what they hold, and we do not in our central cataloging facility provide them with adequate links, adequate cross references. In fact, we do not provide them with any cross references; they make their own. At Berkeley we do not have a satisfactory way of indicating all changes in central cataloging to the branch libraries and to the catalogs that they maintain. We would hope that with new catalogs we could provide some, if not all, of these services.

There might be compelling reasons to close off our catalogs (and I am not speaking for the Berkeley Committee, I am speaking for myself now) if the product after closing were a marked improvement, if it answered some, or a great many of our present inadequacies. Unless we can be reasonably certain of significant improvement, however, we should proceed very cautiously. The card catalog system has a great deal to recommend it, despite all the slurs that we have thrown at it this morning. Moreover, we know that if we close the present card catalogs we will necessarily face the consequences of having to conduct many, if not all, searches in two files. Therefore, improvement must be great enough to more than compensate for this fundamental disadvantage.

How, then, do the anticipated actions of the Library of Congress affect the rest of us, and how should we be influenced by them? Both desuperimposition and the closing of the Library of Congress catalogs are attractive in some ways. In my opinion it is unfortunate that the two actions are not occurring simultaneously. Desuperimposition, although its effects will be costly and troublesome in the short run, might be most easily handled by splitting the catalogs. Conversely if the Library of Congress splits its catalogs, there would be a number of advantages on the local scene to acting in concert with the Library of Congress. We could change filing rules. We could plan our own cataloging to be entirely machine-readable in form, and we could organize our bibliographic products so as to give significantly greater service to our users than we do now.

We at Berkeley are not ready to place all of our cataloging in machine-readable form, and we have not decided what the future outputs should be. We recognize, however, that if we do have all current cataloging in machine-readable form, there is great potential advantage in flexibility of outputs, whether they be in card form (which ranks rather low on the totem pole), in book form, in microform, in on-line access or in some combination of these.

Desuperimposition now or in the next couple of years will add to the present inadequacies of our bibliographic system, not help them. It will lead to a very considerable amount of effort on the part of catalogers in every research library and in many other libraries as well, in changing headings, in planning for physical reorganization of the catalogs, and in making connecting links. Is this effort justified? There is much that I find admirable in John Rather's paper on the future of catalog control in the Library of Congress, but it is written from the viewpoint of the Library of Congress, and particularly of the Processing Department of the Library of Congress. Although implications for other libraries are mentioned, I do not think that Mr. Rather would claim to have considered those implications comprehensively or exhaustively. They are serious implications, and in all likelihood, they will have expensive consequences for us.

If the Library of Congress sees a clear need to close the catalogs in 1979 or 1980, should we not all attempt to work together in order to realize possible advantages in collectively closing our catalogs? Would it not be advantageous to consider the institution of desuperimposition at that time and to plan for it in the interim? Among the planning aids that our librarians at Berkeley envision as helpful, is to have the Library of Congress give us in advance a list, not necessarily exhaustive, of headings that would be affected by desuperimposition for the purpose of checking such headings against our own catalogs and files and making adjustments at our own pace.

A second area in which we might be able to work together is that of the development of a machine-based authority file control system at the Library of Congress, which would be available to the rest of the library community on-line and in book form or microform.

Between now and 1979 or 1980, could we not plan to study intensively subject heading structure with a view to significant improvement after closing the catalogs?

Speaking from the Berkeley viewpoint, we feel there is a very definite need to assemble cost data relating to present operations from the point of view of the future of the catalogs. We need to assemble what is available, and we need to do this on a continuing and updated basis in the way of cost projections for the most likely options for the future, including such things as equipment for microform catalogs and displays, machine and software costs (both developmental and operational), the production cost of book catalogs and microform catalogs. We need to experiment with some of the product options. At Berkeley we are beginning to be in a position to do this. For example, we are experimenting with a microform in-process list, with a

microform list of serial publications, with the Mansell NUC catalog as a substitute for a depository catalog in card form, and we need to determine user receptivity to these options.

Finally, and this is implicit in everything I have said so far, if and when the Library of Congress closes its catalogs, we need to plan for both desuperimposition and the closing of our own.

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MR. PAUL FASANA: I have been asked to summarize the New York Public Library's experience in closing its card catalogs and implementing a computer-based catalog system. I propose to do this primarily in terms of The Research Libraries. It should be kept in mind, however, that two vast and separate catalog systems were involved. The size of The Research Libraries' card catalog system in 1972, the year it was "officially closed", was 30 million cards filed in more than 14 separate divisional catalogs. The Branch Libraries' card catalog system consisted of more than 150 branch catalogs.

In January 1972, The New York Public Library implemented an automated book catalog (ABC) system simultaneously for The Research Libraries and The Branch Libraries. The systems, though based on the same set of computer programs, are separate. The major product currently produced in each is a photocomposed book catalog. Since the implementation of the system, more than 200,000 titles have been cataloged and input to The Research Libraries' bibliographic data base, and 180,000 titles in the Branch Libraries' system.

During the three years since the ABC was implemented, The Research Libraries have gained considerable firsthand experience in implementing and experimenting with new procedures and computer technology, while simultaneously phasing out a large, antiquated cataloging system. Though painful at times, the results have more than met our expectations. I would like to focus my comments today on two aspects of our experience:

1. The implementation of the automated book catalog system and its effect on procedures and productivity.

2. The phasing out of the retrospective card catalog system.

Implementation of the ABC

Within the context of system implementation, two facets of NYPL's experience are pertinent to today's discussion:

1. Technical Efficacy
2. Productivity

Technical efficacy. The design of the ABC is based on the concept of building a data base of bibliographic records under full and automatic control. No other system currently in use that I am aware of achieves this same objective to the same degree. The data base is made up of an authority control file and a bibliographic file. The system, as evaluated and tested during the past three years of full production operation, indicates that the initial effort and expenditure of money (estimated at two million dollars) was justified, and has allowed the Research Libraries to abandon its retrospective cataloging policies, catalogs and procedures and fully adopt LC practice and AACR, main-

taining all the while systematic linkages with the retrospective catalog system. The system, in addition, is able to accommodate current changes in policy and practice, and allow rapid and automatic upgrading of records and entry data. Recently, for example, LC changed the heading Canada. Bureau of Statistics to Canada. Statistics Canada which affected more than 275 entries in the catalog. With a simple change to the authority file, all records using the heading - main, added, or subject - were changed and appeared in correct form in the next month cumulation. A computer system can, if properly designed, enhance changing standards and practices.

Productivity. The most dramatic advantages of the system can be seen in terms of productivity. In the area of cataloging, for example, there has been during the past three years more than a 50 percent increase in the number of titles cataloged (from approximately 50,000 new titles in 1971 to approximately 78,000 in 1974). During the same period, there actually has been a reduction in the number of catalogers employed. This is a result in part of changing to AACR, but it also reflects changes in procedures which could only have been done because of computer support and products, especially in the area of searching and authority work. Increases in productivity of the same magnitude have been realized in other areas as well, including such operations as filing, typing, and searching.

It was estimated a year or so ago that the cost of running the system (a very difficult matter to pin down with precision) was almost entirely offset by the number of positions eliminated in filing and card production. If one adds to these savings the value of the additional positions that would have been required had the manual system been continued to maintain the existing level of processing (or to increase the level of processing to compare with productivity in the automated system) the system is probably costing less.

The Retrospective Catalog System

Though a great deal of detailed planning had gone into the design and development of the book catalog, little preliminary planning was done relative to the phasing-out and locking-up of the retrospective system of card catalogs. This was probably due in large part to the fact that virtually no experience existed at that time to guide library planners. This lack of pre-planning had proved both positive and negative. I personally feel that had we attempted to do exhaustive pre-planning in this area before making the decision to close the catalog, the problems would have seemed so overwhelming that we might not have undertaken the effort.

There are at least four major areas of concern that must be dealt with: retraining of staff; phasing-out of procedures and cleaning up of materials in process; the physical closing of catalogs; and preservation of catalogs. I would like to comment briefly on each.

1. Retraining of Staff. Since the implementation of the book catalog meant that we were abandoning unique NYPL cataloging policies and practices and adopting AACR, the amount of training that was necessary may not be indicative of what can be expected in other libraries. However, it might be of interest for comparative purposes. Retraining of Cataloging Branch staff took place over a period of 18 months and began with intensive lecture/demonstration

sessions lasting for about two months; six to eight months of practical application followed during which time catalogers were required to perform "dual" cataloging (that is, cataloging the same title according to retrospective rules and again according to AACR); and finally, a period of ten to 12 months during which all cataloging had to be exhaustively revised. Even after this expenditure of effort, continued vigilance has been necessary to keep catalogers from reverting to past practices. We find even today that out of a staff of 34 professional and 18 paraprofessional catalogers that there are at least three or four catalogers who have not, and probably never will be able to make the change.

2. Phasing out of procedures and materials. Changing from one system to another requires cleaning up of materials that are in process, where "in process" can mean, as we found, something that has been around from one month to ten to 15 years. We began by deciding that all material having a 1972 or later imprint had to be input to the ABC, while other in-process materials could for a year be processed for either system depending upon difficulty. This proved to be unwise and too permissive. Before the end of the first year a new directive was issued stating that for monographs, all new cataloging would cease and that all catalogers would be given a month or so to clean up snags and current backlogs. The "month or so" for certain catalogers dragged on for several months. Serial catalogers were initially given a six-month reprieve; this dragged on to almost a year. To enforce these target dates, we eventually had to declare that all official catalogs were "closed", but even then it was not until we actually began to put the main official catalog on microfilm and withdraw the cards from use were we sure that all retrospective cataloging activities had stopped.

3. Closing of the Catalogs. In order to accommodate filing arrearages, serial work, and cleaning up of snags, the official closing of the entire card catalog network was spread out over a three-year period. The process of closing a system of catalogs as large and interrelated as ours has proved to be quite difficult. A primary objective is to ensure that the closing of all catalogs is synchronized; by that I mean that all catalogs as of a certain date are frozen. If this is not done, differences and discrepancies begin to exist among catalogs which if allowed to continue for any length of time become critical. Within The Research Libraries the following schedule was used to close and "lock-up" catalogs: Official (or work) Catalogs were closed as of January 1973; Public Catalogs (except for the main Public Catalog) were closed as of January 1974; and finally, the main Public Catalog was closed as of 1 January 1975.

A word about the amount of effort spent to date on the Public Catalog is of interest. The Public Catalog is a file of more than 11 million cards. As of 1 January 1975, three years after the official closing of the catalog, we had finally reached that point where all cards had been interfiled and most "snags" had been reconciled. This clean-up effort required a staff of 13 working virtually full time. We have not yet undertaken the rehabilitation and preservation of the Public Catalog, an effort that we estimate will take three to four years and cost on the order of 1.5 to two million dollars. Overall, I estimate that during the past three years we have spent more than 75 man years of effort cleaning up and closing the various official and

public catalogs within The Research Libraries.

4. Preservation. The thorniest problem to deal with in closing a catalog is what to do with it once you have closed it. A catalog will continue to be used, therefore will have to be maintained and preserved. Because of the importance of the collections and catalogs, most (12 out of 14) of the Research Libraries' divisional catalogs have at one point or another been filmed and published in bookform by G.K. Hall & Co. Our preservation strategy, therefore, for divisional catalogs has been to work with G.K. Hall to produce supplements for all previously published catalogs which dovetail with ABC. Most Divisions have at this time in bookform a complete book catalog of their collections. This solution is neat and straightforward.

Filming and printing a card catalog resolves the problems of preservation; in turn however, a new set of problems is created. How does one cope with a record which is frozen at a point in time? What does one do about serials? Lost books? There are no simple solutions.

With the Main Public Catalog, we have a different set of preservation problems to contend with. Because of its size and physical condition, we feel that we cannot simply close it and photograph it "as is" as we have done with divisional catalogs. Instead, before filming, cards must be "rehabilitated." The cost however, is enormous. We estimate that rehabilitation alone will cost on the order of 1.5 million dollars. Once rehabilitated the Public Catalog would then have to be microfilmed for preservation. The cost of filming is on the order of $300,000.

The problem is critical. The Libraries do not have the money to undertake these essential efforts, yet they cannot afford not to. We know that if we do nothing, essentially abandon the Public Catalog, that deterioration of cards will continue and probably accelerate. At present, we estimate that 25 to 30 percent of the cards in the Public Catalog are severely affected by deterioration; we project that within the next five to ten years, if we do nothing, the number of cards affected will increase to 30 or 40 percent. The cost of rehabilitation if delayed will increase dramatically.

Conclusion

In closing, I would like to emphasize the following: computer technology has advanced to a stage where it can effectively and economically be used to replace manual cataloging procedures. More importantly a computer-based cataloging system, if properly designed, can provide the capability of linking retrospective and prospective catalogs, and facilitate future change and innovation. These capabilities enhance the possibility of being able to close one's card catalog yet maintain continuity in terms of a library's bibliographic record.

And finally, the idea of closing one's card catalog is frightening and bold. If one attempts to identify and resolve in advance all problems to everyone's satisfaction then probably nothing will get done. Both ideas require decisive action. The real need at this point, in mind, is to make the decision and go forward.

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MR. HUGH ATKINSON: Since the Library of Congress is going to close its catalog, it seems to me none of us should underestimate the effect such closing will have on our libraries. No matter what the plans the Library of Congress has for continuing any of its present services, such decisions do affect us even more radically than we believe.

The thing that interests me most about the Library of Congress decision is the analysis of why LC should choose the option toward which it seems to be moving. No matter the differences of scale, many of the same problems are facing each of us. The first of these problems is the expense -- the costs of keeping up our catalogs is an amount totaling over six figures a year. Second, we all have a continuous demand for a unified file of current materials. That is, access to the order file, the in-process files, the catalog of what we have received recently, and the shelflist and official catalogs in a single source has been demanded by either library staffs or library patrons.

The provision of that kind of unified file of current information does not seem to be practical with the card catalog as we know it. If one can build such a file, it is very, very expensive. We do not now have the ability to add very well the kind of indexing and cataloging and access that agencies other than the Library of Congress or certain other libraries have been willing to develop. The content of the ERIC indexing, of the indexing and abstracting provided by the professional societies and abstracting services, has not been seriously disputed. The problem is we have not been able to find a way to translate the data into the form that we wish to use it, and this inability has arisen generally because of the form of the card catalog. The changing language of the access to our collections has been a continuous problem. Some libraries, such as those in Great Britain, tended to ignore the problem and just not try to have consistency. It is to this problem that those who speak of superimposition referred, as well as to the other problems of "linkage." These, I believe, are the general problems which we hoped to ameliorate when we at Ohio State made the decision that we cannot continue to provide access to the collections through the card catalog.

In our particular case we have a few other problems that some of you share and some do not. First of all, we are committed to decentralization, even greater decentralization than we have now. We now have 22 department libraries and four graduate reading libraries. I would assume that the future will bring us closer to 30 or 35, but the concept of the Main Library is going out of style, even more rapidly than it was before.

We have a steady state budget, more or less, and the demand for reallocation of the library's resources is felt both within the library staff and on the part of the university community. We simply cannot continue to perform the expensive kinds of analysis required for original cataloging for example, of books in physics in order to preserve consistency when we cannot afford to keep the physics library open; when we cannot afford to continue some of the journals. Under such circumstance choices will be imposed on us. I am sure you have all heard statements such as "Why do you have to catalog everything at $14 a volume when that $14 would buy us a journal subscription?"

The only way I can see of making such reallocations is to change what goes on in the back room, or at least, change the system to one which allows an individual group, a department, a college, a library, to choose out of its total allocation of resources of book budget, of journal subscriptions, of cataloging, of acquisition costs, of reference costs and circulation costs, how much it wishes to allocate to each of the four major activities of libraries: circulation, reference, cataloging and acquisition. Such allocation will vary from department to department. As long as we are centralized, we cannot make those reallocations department by department, at least not well.

Another thing that I note is that large libraries are unhappy places in the back rooms. I am now pretty well convinced that no library unit should be larger than the "primal tribe" of some 12 to 13 people; somehow large groups do not function well in this age of the greening of American libraries. They may have worked in the past, but not now. The only way that I can see to get us down to the primal tribe, to decentralization, is, in fact, through electronic centralization, through the electronic imposition of certain kinds of standards and certain accountability. That means, in fact, closing the card catalog.

Another aspect of librarianship which is beset with problems is the interlibrary loan activity. The costs are outrageous and I would like to see a drastic reduction in such expense. The electronics may provide us with the ability to do so. Electronics are distance independent. Maybe we can reduce the amount of labor it takes to get an interlibrary loan in or out. The ability to query machine files, computer catalogs, would allow us to both reduce the cost and improve the speed and accuracy of the service.

It seems to me the complexity of most research libraries is growing even faster than the size of the Library of Congress catalogs, and additional complexity means that the library responsibility to provide systems which handle complexity is even greater, especially since library systems are expected to be used by the patron in a "self-service" fashion. That is we assume by where the catalog is placed, by the form of the catalog, and by the instructions in its use that people will use it themselves. We may provide that gesture called the Catalog Information Desk only because we do recognize that some of our students and very few of our faculty are not able to read in consistent ways. Nevertheless, it is but a gesture.

Through the continuation of our bibliographic access through computers we can then provide the ability of the system to impose professional knowledge between the records and the patron. It is no longer so clearly a self-service operation; those who can use the catalog will do so knowing that they are using a complex tool. The way our card catalogs are now set up, libraries imply that these are easy tools to use.

Even if we all agree that we should change the form of our system of bibliographic access it is still a most difficult change to effect. I think that many of the problems that the UCLA-Berkeley Study Groups have come up with exist in our present system. I do not see them any more difficult than the "see also" reference and the whole question of superimposition. In fact,

with some kinds of computer searching you do not have to deal with concepts of single points of entry; most of the general search programs do allow you to search word by word. Italian surnames might not be a problem if you are using Lockheed's DIALOG system or SDC's ORBIT or BASIS-70. Most computer systems will search either way, and the patron does not have to choose one way and one way only. The ability to search either by the subject heading, by added entry or by any word in the title may get us out of many of the problems outlined with the linkage.

In Ohio we have been aided by the OCLC decision to purchase one of the three great commercially available searching systems, BASIC-70, ORBIT or DIALOG. It will be implanted in the OCLC system some time in this coming year. This will provide us with the ability to have subject access and word-by-word access to the records that we have cataloged in the last three years.

We will by the end of this coming year all be in the same situation that the Library of Congress is expecting to be in in 1979 or 1980 -- that of producing all cataloging in machine-readable form. Once the decision is made at the Library of Congress to transliterate, which was one of the big stumbling blocks before now, we will be able to take even further advantage of the OCLC system to produce catalog records in such a form. The OCLC will also be providing the basic program that we will use to continue the catalog.

The hardware, whether you analyze it by the actual cost or per unit stored cost or any of the other ways of analyzing, is becoming cheaper. We can now rent dumb terminals, not smart ones, but still terminals, at $100 a month. Even if we have to rent 20 for the Main Library, and three in each of the department libraries, we can provide bibliographic access still cheaper than through human labor, which is compounding at 15 percent a year (at least, that is what our clerical employees seem to have gotten in the last three years). The catalog is not just a one hundred-some-thousand dollar operation to maintain; it is a 200,000 dollar item in five years, and that is an expense that we can not afford. Thank you.

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MR. RUTHERFORD ROGERS: We have talked a lot about the catalog as a problem. I hope we will not forget (as John Cronin repeatedly reminded us at the Library of Congress) that the Library of Congress catalog is the greatest bibliographic instrument in the world, and I think it always will be. The same assessment applies to the catalogs within our own institutions.

I would like to compliment the other people who have preceded me, and particularly those from the Library of Congress, on their presentations. Even though the terrible things that Fremont Rider predicted have not come to pass at Yale, I happen to think our days are numbered, and that we cannot go on maintaining a card catalog, both because of the expense, and because of the real estate problem: we are simply running out of space. We have just expanded our catalog substantially. That will probably get us through five

years. By desecrating the main library, we might make other expansion that might take us through another ten years; so I am saying that by 1985 or 1990, we are simply going to be forced to do something different.

I think there has been a lot of loose talk over the last couple of decades about how library processes are falling apart. I really believe that we are moving into a period when we are going to have to do something about the card catalog. I fully believe the Library of Congress when they say there really is no other option. They are going to have to close their catalog, and it is not just the cost of the Catalog Management Division that requires the move, there are a lot of other reasons.

I happen to have been at the Library of Congress when the decison was made to superimpose. It is easy to look back now and say what a lousy decision that was; I recognize that it was a bad decision. But I do not think the Library of Congress at that time had any more stupidity per capita than the rest of the library profession, and I doubt that it does now. There were reasons why that decision had to be made, and I believe we are going to work our way out of the problem thus created by closing the catalog. It seems to me that the Library of Congress has suggested some very ingenious solutions and, like all great discoveries, very simple ways of dealing with this problem.

I have never heard an art historian talk about the Library of Congress subject headings or its classification in their field, without their declaring: "They're impossible." I do hope that if we are going to start a new catalog, that we will not rush into it so fast that we do not solve some of the infirmities that now face us at the Library of Congress and at other places. Transliteration is a big problem in this country. It is also a problem that is engaging those concerned with universal bibliographical control at the international level. Believe me, this is something that is not going to be solved overnight. I know that some people are a little concerned about what will happen as far as Cuttering is concerned if there is a radical change in the Library of Congress, but this does not concern me in the least. Anybody who has gone through a reclassification as I have done in two large university libraries, knows that people find very readily that they can work with at least two major divisions in a book collection, and I think that this problem is really de minimis.

All of the research libraries of any importance outside of the Library of Congress are going to have to continue to follow the Library of Congress, and I think inevitably this means we ought to be looking without any reservation toward an automated on-line system. My question is: Are we going to be ready in time to take advantage of this system when the Library of Congress feels that it has to move?

I hope no one will go away from here today without remembering something that has been said repeatedly, and which will bear reiteration: we simply have to have an authority file that can be used by everybody. I do not see how that is going to be possible without following what the Library of Congress has proposed.

Is there any chance that we might be able to look to LC as a direct source of machine-readable records? I think there are already danger signals as far as regional bibliographical systems are concerned. The data base is already becoming immense; it is going to become much greater, and there are major difficulties in maintaining it.

Finally, I wonder if perhaps we might be worrying a little too much about subject access. Those of you who have read Ben Lipetz' bench mark study on this realize that subject access is not of prime importance to our users. It is not even the indispensable thing in a research library. As a matter of fact, it is surprising how little subject access comes into play in a big collection.

Is there any chance that we could rely more heavily on the Mansell Catalog as a retrospective record and not worry as much as we do about the fate of the existing system?

The division of the catalog into two parts does not concern me any more than having the book collection divided into a couple of parts in the stack. Any scholar who does research in depth is likely to work in a half-dozen libraries. The fact that he might have to work in two files in one of our libraries, I think, is something that users will soon adjust themselves to. Right now we have supplemented our card catalog with a computer-output microfilm in-process list. People learn to use this with ease, and they are glad that it is available. This suggests to me that we should not underestimate the capacity of our users to adapt to new developments.

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MR. BASIL STUART-STUBBS: Question: why are you hitting your head on the wall? Answer: because it feels so nice when I stop. That is such an old joke that it does not get many laughs, but I cannot comprehend the orgiastic pleasure that we are all going to experience if eventually we conclude that we are all going to close card catalogs. I do have this feeling of conservatism welling up from the audience that there is just going to be a tendency to go on studying the problem and delaying the decision.

Now in terms of my library, I have already made that decision: we have to close the card catalog. We have to close it because it is costing too much, and it is going to cost more, and we have to close it as Mr. Rogers has to close his for reasons of physical space.

I also have to be concerned about the fate of the National Union Catalogue in the National Library of Canada, because I am the Chairman of the Task Group investigating that. We have investigated that now for three years, and we are still looking at the complications of closing catalogs, but I am equally convinced that that has to stop too, and there is only one replacement, and that is a machine-readable catalog.

But how do we take advantage of machine-based systems soon? It is all very well that terminals are becoming less expensive. I do not think the

users are ready for terminals, so there has to be some intermediate step that we explore to make the machine-readable information available to the users. So I am going to take this opportunity to ride a hobby horse and to describe for you the approach we plan to take in dealing with our own catalog.

As part of the inquiry on behalf of the Canadian Union Catalogue, I made a trip to England in 1973 to look at the use that the British libraries, (mostly public, one or two university) were making of computer-output microform (COM), and I was persuaded by what I saw that in computer-output microform, we have the intermediate answer between the conventional catalog and the on-line catalog and the sophisticated users who will be able to use terminals as simply as they are able to drive cars.

There are great virtues to computer-output microform, and several people have already mentioned that they are using them for in-process files in their libraries. It is very inexpensive in comparison with conventional forms of printout, and certainly in terms of maintaining card catalogs. It is easy to create. It is easy to accumulate. You can put in a lot more information than you can on paper printouts. It is very compact. It is easy to copy and the content is flexible. It is as flexible as anything that you can dream up with a machine-based system.

Here I would plead with people to stop thinking card catalogs and start thinking in terms of machines. That is now the way to go. You can do many more things with machine-readable records. You can present your information in different ways. We seem to be tied to the notion that everything is going to be just as it was. We are trying to reproduce something that really is as dead as a dodo.

Obviously COM has its uses in branch libraries, but it also has its uses in networks. I am sure that many of you are in the position that I am in -- as the major library in the region you are going to have to play some kind of role as a resource library and how can you do that unless people have copies of your catalog? I suggest that COM is an answer, long before the terminal will be an answer. One could go a step further. Why do we have individual catalogs at all? Ultimately I can see the possibility that through the machine we may no longer have individual catalogs, but will simply tap into one giant catalog, probably based on regional or state or provincial lines. The other aspect of machine-readable systems that is attractive to me is the possibility of taking totally new approaches to the way we present information.

The other thing that the British experience persuaded me of is that we really give the users more information than they need. It was easy enough to do when we printed everything on the card, one card after the other off the same die. You do not have to do that anymore. For purposes of locating materials, which is really what most of our users want, you do not need all that stuff. You can keep the bibliographic information somewhere else, or you can produce it when you really need it, but you certainly do not have to burden the system with that information.

It is all very well to divide catalogs, but what about the retrospective one? I would suggest here that there is a need for research into the microfilm reproduction of retrospective catalogs. It is being done as, for example, in the Illinois IMAC Catalog. But if we start using COM in the one direction, we need something that is compatible and consistent with COM in the other, if we are not going to have two pieces of machinery to deal with.

There again, I suggest that the conversion of retrospective catalogs to microfilm for purposes of dissemination to branch libraries within networks and so on may be an intermediate step, but I am not going to do a RECON project. I am going to wait for everybody else to do that. Everybody else is taking the same line. Eventually we may get it together. There may be one machine-readable data base. We may all tap into terminals, but I think right now, when we are all faced with these space and economic problems, it is time to look for an intermediate solution, and I suggest again that it is COM.

I want to draw your attention to two papers that you might want to consider if you are not familiar with this medium. One is by Joseph Becker entitled "Computer Output Microfilm (COM) for Libraries" in the UNESCO Bulletin for Libraries for September-October, 1974. There is another excellent article by Elizabeth Stecker, which is in the Australian Library Journal for September, 1974.

I will conclude my remarks with a word on user access and approach to microforms. Actually, we have found that the users are not concerned about the fact that they have to use a microfiche instead of consulting a list or a card catalog. They adapt very readily, but we have trouble with reference librarians. They are the most conservative people in the whole world, and my answer to those reference librarians is this: I have got a responsibility too. My responsibility is to the public, and the way I use their funds, and I feel that they, too, stubbon though they are, will have to adapt.

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Discussion

MR. WELSH: Just a few quick comments. The reason I gave the history statement was to anticipate the questions that Judy Corin would ask about our dialogue with the library community. I did make the presentation, I am going to remind you again, in 1969 to the Technical Services Directors, your people, and there was no response, nor did I really expect one. But I wanted to begin the dialogue. This meeting is, I believe, the fruition of that beginning.

There were a number of reasons why we thought that the question had to be brought to the floor. One was superimposition. Another was the complexity of filing rules. It is becoming more and more difficult at the Library of Congress for the filers to understand our filing rules. John Rather came up with a new set of filing rules which we would like to adopt. We cannot adopt them, however, for the retrospective catalog. Romanization or transliteration,

as Mr. Rogers said, was another problem. The deterioration of the card catalog, both the intellectual and physical deterioration is a source of difficulty. We wanted to make some subject heading changes. And, as Mr. Rogers also said, space is a problem. All of these considerations were brought to bear, and they are in the documentation that we presented.

The question of superimposition was something that I thought we could deal with separately, and I naïvely made some representation to that effect when we came up with the term "desuperimposition." Now I leave you with the thought that we are talking about "undesuperimposition." Cornell, Indiana, Northwestern, UCLA, and Berkeley all have made strong representations that we postpone the decision on desuperimposition. Tomorrow at the meeting of the Technical Services Directors, we will probably have a show of hands which will result in our decision to delay it.

The reason we advanced the timetable on abandonment of superimposition was because of the great interest on the part of the participants in the CONSER effort. It was determined, and I think there was unanimous agreement, that it would be desirable in the development of this serials data base that we follow one set of cataloging rules. That remains, I think, a desirable goal. There are other considerations now that have been advanced that suggest that we will have to reconsider that. Incidentally, the British Library approached us a number of years ago and suggested that the Library of Congress and the British Library join hands in closing the catalogs together. They had in mind some strange date of 1976.

And the last question Mr. Rogers raised we can answer this way: among our proposals to the National Commission was one that we establish a bibliographic distribution service that would rework the Card Division concept. We recommended that we provide on-line access, all sorts of access, bookform catalogs, cards if you want them, but on-line, if it suits your particular need.

We are prepared to deal with this problem. We are here to communicate. This is a very difficult situation because, as I meet with you now, there are some school librarians out there saying that we have not met with them. There are public librarians out there making the same charge, but we believe that our first constituency is in fact the research community. So let us hear your questions.

MR. DAVID WEBER (Stanford University): Did you say, or would you indicate, when you may be on-line for remote access from other universities or research libraries?

MR. WELSH: It will be several years away. I am not going to make any promise that I cannot deliver on, and this, as all of you know, is a very complex question. We do have to get our authority files up. We are moving on very rapidly, but my own view is that every effort in automation takes much longer and is a lot more costly than anticipated.

MR. JOSEPH LEITER (National Library of Medicine): I commented to John Rather that the larger the library, the sooner the problems come to it, and the more difficult and longer it takes to reach a solution. I listened to what seemed to be a generally favorable approach, but there appears to be some concern about moving too rapidly. My only concern would be that since the Library of Congress has made the decision to act, that our principal objective is to see that they do it, not to raise any questions about things that they should not do.

I am a little bit distressed that there are some pressures on Mr. Welsh to defer the superimposition or whatever you want. I do wish to remind you as a nonlibrarian, that libraries have existed hundreds of years before this and will exist many years thereafter, and that the time is in favor of change. The sooner you make the change, the better off you are. Time will take care of it. Do not think in terms of your problems; think of problems of the future. There has been every indication that the longer you defer, the more costly it is. It has also been emphasized that you look at the economics, and what it is going to cost you if you do not act, as well as if you do. Any rational analysis of this will indicate that the time to do it is as soon as possible, and any deferral is going to cost more.

MR. DAVID SPARKS (Notre Dame University): I would like to speak to the question of transliteration. I hope we do not see this as too much of a problem. The Western European and American libraries got themselves into what I think is a pseudoproblem of transliteration. I do not see why it is not possible for the Library of Congress to print a Cyrillic catalog or Arabic catalog. As a matter of fact, the British Museum and the Bibliothèque Nationale do adopt this approach in certain languages and scripts, and our third world librarians are going to vote for multiple script libraries. I would hope that this did not become a difficulty for us. Regarding the question of automation, you have only to look at the Swiss bankers who are able to produce balance sheets in Arabic for AMCO. There are technical devices for computer people who can handle multiple scripts. I just hope we do not waste time on a problem which may not be a problem, and give more thought to this.

MR. STUART-STUBBS: We did look at the question of the Cyrillic, Arabic and Oriental scripts in relation to the Canadian National Union Catalogue, and concluded that we might as well have a separate manual file for as long as we can build it, because of the number of times the Catalogue is actually assessed for these things. I do not know what the situation is in the U.S., but there is a very small minority of the academic community that is able to read those languages. I really ask myself: Is it worth the effort of transliterating, keypunching and all that for that small minority? I would just as soon have a separate catalog, and they may be happier for all I know. It just does not make any sense to me when I open the Catalogue and find many languages in there that I cannot read.

MR. SPARKS: The truth is that the people who can read these languages are better served by having the language presented in their original form. I believe that Mr. Rogers will testify that as far as the East Asian libraries

at Yale are concerned, they have a separate catalog which I believe is in the ideographic scripts.

MR. ATKINSON: I am getting letters from the Chinese and Japanese who have realized that the cost of original cataloging or manual cataloging is high enough so that it means a delay in processing of about half the number of items that are received in the library system. There is a big backlog in those languages. These users are perfectly willing to say we would rather have them transliterated if it means getting the items on the shelf more quickly. I am beginning to get letters from the departments suggesting that we stop producing cataloging in the vernacular, not because they would not prefer it, but because it causes too much of a delay. The foreign language librarians are opposing this, but the department tends to win under such circumstances.

MR. WELSH: We are conducting an experiment now. One of the results of the Nixon-Brezhnev agreements is that the USSR and the U.S. are exchanging tape in machine readable form. We have agreed to send the USSR tape on a small collection of English-language records. They, in turn, are going to send us a tape. The tape will go to the Atomic Energy Commission, and AEC through one of its programs will do the transliteration to see whether they can reduce the high cost of this process.

MR. HYMAN KRITZER (Kent State University): I am a little surprised that Frederick Kilgour is not here. What consideration is being given at the Library of Congress to more formal relationship with OCLC?

MR. WELSH: Mr. Kilgour has just recently invited us to send staff to his various advisory committee meetings. We are enthusiastic about OCLC and all the other networks. We believe that all of our efforts will increase OCLC capability, including on-line. If Mr. Kilgour can access our data base on-line, if that proves to be economically feasible, this is the right direction. All of our additional cataloging that we are talking about converting into machine-readable form will, of course, move in that direction. So we are trying to work closely with OCLC.

MR. BEN BOWMAN (University of Rochester): Should not the CONSER be mentioned in response to that?

MR. WELSH: Mr. Livingston is going to present a paper this afternoon that will tell about the close relationship between the Library of Congress, the National Library of Canada, and the other participants in the CONSER effort. A contract has been signed with the Council on Library Resources, which has agreed to manage the CONSER effort. This has really quickened the pace considerably.

MR. DE GENNARO: Seeing that there are no further questions, I thank the participants for this most interesting program.

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THE NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE

Alphonse Trezza
Executive Director, NCLIS

MR. HOPP: I want to present Alphonse Trezza to you this morning who is the new Executive Director of the National Commission on Libraries and Information Science. He is going to speak briefly about the current Commission program document, "A National Program for Library and Information Services." We are going to be hearing more from Mr. Trezza at the May meeting of the Association, but we thought since he has just recently joined the Commission, it might be useful for us to hear from him this morning.

To give you a very brief background on Mr. Trezza, beginning in 1956, he was Executive Secretary of the Catholic Library Association for four years, and then spent a number of years at the American Library Association headquarters in successive positions, including Associate Director of ALA, Executive Secretary of the Library Administration Division, and then Associate Director for Administrative Services. In 1969 he became Director of the Illinois State Libraries, and is on leave from that position to serve in the position of Executive Director of NCLIS.

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MR. TREZZA: I am sure the National Commission is familiar to all of you, but let me just read you two very brief things from the law that established the Commission.

> The Commission is established as an independent agency within the Executive Branch and its name is the National Commission on Libraries and Information Science. It shall have the primary responsibility for developing or recommending overall plans for and advising the appropriate governments and agencies on policies set forth in Section 2.

Then it lists a number of areas such as implementation of national policy, conduct studies, development of overall plans for meeting national library informational needs, coordination of activities at the federal, state and local levels for appraising the adequacies and deficiencies that occur in library information and resource services, etc. That is a pretty tall order, as you might imagine.

The National Commission first came into being in 1970. By the time the President got around to appointing the Commissioners we were in 1971, and the first Executive Director, Charles Stevens, whom, of course, many of you know, came aboard in the fall of 1971. The Commission since that time has conducted a number of studies. All of them have been published and are available to you either through the ERIC system or through the Government Printing Office (GPO).

In addition, the Commission had a number of regional hearings all over the country. In fact, we have just about completed our hearings; we have one left that we are going to schedule for this May in Philadelphia for the Mid-Atlantic area. Those in that five-state area will be hearing more about it, and will be invited to come and participate with us. Also during this time the Commission started to draft its national program document. It did an initial draft which was not very long, but long enough so that it could be printed and get reaction, which it did. In fact, the Commission received thousands and thousands of letters, calls, and comments reacting to it. As you might expect on a first effort, there were many comments from all over the lot as to why it was not any good.

The second program document, however, which came out last September, has been well received. It is well over 100 pages. It has been available all over the country; we have distributed at least 3000 copies. There are copies available now for anyone who has not seen it, and we urge you to get a copy and read it. Because it is such a comprehensive document, I suggest that after reading it, you go back and concentrate on those portions of the report where you feel you have some special interest or expertise, and give us your critical comments on that, rather than try to comment on the document as a whole, which results in scattered criticisms or ideas which do not really serve much in the revision.

Our plan is to have the document revised in its final form between now and the end of March, get it in the hands of the Commission in April, have a few individuals and organizations look at the third draft as we will call it, and then by the May meeting of the Commission in Philadelphia, the Commission will officially adopt its national program so that we can get off the dime -- in other words, stop drafting documents and start trying to do something with what the recommendations and the ideas in the document suggest. The implementation of the national program is the Commission's job for the next five years. We have many more things to do than just that, I am sure, but that will be the center of our responsibility. The White House Conference on Library and Information Services is another responsibility which Dr. Frederick Burkhardt, Chairman of the Commission, will tell you about later. I do want to urge you to read the program document carefully as it relates, first of all, to research libraries. Also, look at the very extensive section on the network.

Vernon Palmour, when he was with Westat, Inc., had done a study for us on resource centers. That document[1] has been completed, accepted by the Commission, and submitted to GPO and ERIC for dissemination. We think it will take another six weeks before it is going to be available, after which we are going to convene a conference of people who are interested in the subject of national resource centers. This obviously will include a number of you.

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[1]Vernon E. Palmour, et al. Resource and Bibliographic Support for a Nationwide Library Program. Rockville, Md., Westat, Inc., August 1974.

During the week, if any of you are especially interested in that kind of a conference (although it will be limited because we cannot have too big a group if we are going to have effective dialogue), please let me or Frederick Burkhardt know that so that we can include your name on the list of people that we are going to consider for that conference. It is very important to you. Obviously it is going to involve more than research libraries, but certainly research libraries will be involved to a larger extent than some of the other types.

We have completed a number of studies, and we are sending them all out. Let me give you some idea of how we do a mailing on a study which is published. I have told you already that we deposit it with GPO, so it is in a depository system that way. We file with ERIC; therefore, it is available through ERIC. We also send a copy of each of our studies to all of the library schools, to all of the state libraries and to the major associations. While the limited supply lasts, we do send copies to institutions or individuals who have special interests and request copies. Therefore, any of our publications that you would like, if you will drop us a note, we will see that you get one.

The most recent one we issued is on user studies as a result of a Denver conference. The next one which is due out in about two weeks is one that was done by a firm in Philadelphia on the funding of public libraries. The most recent one before that was on continuing education. In fact, before this week is over, both the American Association of Library Schools and the Commission itself will be spending considerable time on the whole problem of continuing education for libraries and information science.

Let me just close by telling you that the Commission is most anxious to be fully aware of the problems and the needs of all of its constituencies, which includes, of course, all in library and information science. We are especially concerned with the problems and needs of the research libraries, because you are central to any national system we recommend. You, after all, represent the libraries having the basic resources; if any national network is going to operate, we need your cooperation and we need your help. What we need from you is the development of an attitude -- an attitude that you will help us set up a national system that is effective and designed to help the total population in this country. While not losing sight of your responsibility to your own primary constituency, we hope you will take the long view, because in the long run that will serve you most effectively, not only collection-wise, resource-wise, staff-wise, but financially.

The limitation of the financial resources of this country, certainly for the next five years for all kinds of educational programs in libraries, is obvious to all of us. We are not going to get anywhere if we are going to go off in different directions, all demanding or requesting large sums of money from the federal government or state government. It just is not going to work. We are going to have to operate as one total library community with one basic goal, which is to bring the library resources of the world to the people of this country as effectively as we can with reasonable speed and at reasonable cost. Thank you.

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THE CONSER PROJECT: CURRENT STATUS AND PLANS

Lawrence G. Livingston
Council on Library Resources

In January 1974, during the annual meeting of the Association of Research Libraries, the membership was asked to consider the concept of a composite effort to build an on-line national serials data base. The project came to be known as CONSER, for Conversion of Serials records. This resulted from a request by the Library of Congress and ARL to the effect that the Council on Library Resources should assume an interim role as manager of a project to pull together several already operating efforts to build a serials data base.

That concept was presented again at ALA Midwinter, which occurred the week after the ARL meeting, and copies of the paper were distributed there. In order to insure wider distribution, the paper was also published in the Library of Congress Information Bulletin on February 1, 1974.

The origins and justification for the CONSER project were covered in a paper by Richard Anable which appeared in the December 1973 issue of the Journal of Library Automation. An excellent update on these two papers was published by Lois Upham, University of Minnesota, in the November 29, 1974, Library of Congress Information Bulletin.

The justification for CONSER and the general approach decided upon have, then, received wide publicity. In general, the response has been favorable; most librarians seem to be gratified that CLR has taken on this responsibility. Lively discussions have been held on the subject and many legitimate and important questions have been raised. Not everyone agreed with every decision taken, however. It is the purpose of this presentation to relate what has happened with regard to CONSER since last January and to cite the major problems encountered, together with solutions or approaches to solutions decided upon, with a view to convincing you that CONSER is a project deserving of your fullest support.

As soon as the decision to go ahead with the CONSER project was firm, CLR began several actions, most critical of which were the contract negotiations with OCLC and the selection of the initial participants. In July, Richard Anable joined the CLR staff on a leave of absence from York University to work on the project. He and George Parsons of the regular staff now devote full time to CONSER.

By April of last year the decision to use OCLC was firm, and the first formal discussions with them to that end occurred. The first drafts of the contract were exchanged between OCLC and CLR in May. It soon became evident

that interests considered vital to both parties to the contract were at loggerheads. From the Council's point of view, participation in and support of the CONSER project could not be justified unless the resulting data base could be made available to the library community at nominal cost and with no restrictions as to use. From the OCLC point of view, participation in the construction of a data base which was to be made freely available amounted to giving unwarranted advantages to potential competitors, especially those in the commercial sector.

This legitimate concern on both sides was perhaps the most difficult point to negotiate and very time-consuming. In the event, the decision-makers at OCLC conceded on this point and the contract (which, incidentally, was finally signed on December 17, 1974) includes the provision that ownership and free distribution rights to the CONSER data base accrue to the Library of Congress and the National Library of Canada. Both have indicated that they are considering distributing CONSER records in some sort of adjunct to the regular MARC distribution services.

The contract also specified that OCLC will retain full use and distribution rights to the CONSER file, to include the complete file at project's end. This was only right, and the obvious advantages to institutions participating in OCLC undoubtedly weighed heavily in the decision to accept that part of the contract. The contract further assures the CONSER participants access to their own records in the file.

OCLC agreed not to charge the project for the use of the system itself, which had been developed with some assistance from CLR. CLR agreed to pay OCLC for the secondary storage required by the CONSER records and their indexes. As some modifications to OCLC serials software would be required by CONSER, CLR agreed to pay for the staff time required to do the programming. The contract provides for certain other staff services required by CONSER to be performed by OCLC and paid for by the Council.

While the protracted contract negotiations were going on, the process of selecting the institutions to participate initially was begun. Several considerations were vital here, the two most important being bibliographic excellence in serials work and a willingness to contribute significant resources to the project. First choices were easy; the Library of Congress, National Library of Canada, (U.S.) National Library of Medicine and National Agricultural Library were naturals for the project. Next came Yale, Cornell, University of California, University of Minnesota, and joint representation from the State University and State Library of New York. The national libraries in this country agreed to furnish all their own support, and agreement is near with each of the other participants, wherein each will furnish its own staff and in-house facilities and the project will supply varying amounts for terminals and communications.

The University of Minnesota deserves special mention here. On its own, Minnesota, through the MINITEX Program, had prepared a large file of serials records in machine-readable form. The Minnesota Union List of Serials, (MULS) as it is called, was considered the best large file available for use

as a starting base for CONSER. Minnesota agreed to furnish the file, and it has already been delivered to OCLC. It will be merged first with LC MARC serial records, then with other OCLC serials records, and finally, with the Canadian MARC serials. The intent is to eliminate, to the degree that is possible, the duplicates among these files and then have the CONSER participants upgrade the records to the best possible level of completeness, excellence, and content designation.

The Library of Congress MARC format for serials will, of course, be used throughout. Where the latest version of that format does not provide for data elements or controls considered necessary for CONSER (for example, for the bilingual requirements of Canada or certain elements required by the International Serials Data System), recommendations for changes to the format are being worked out and submitted for consideration through the channels established for the purpose. The project will not establish any standards itself, and no data elements or controls will appear in records to be distributed which have not been officially approved.

Meanwhile, at the Library of Congress, CONSER planning was having an impact. It will be remembered that last January it was recommended that LC study its own several serials processing flows and attempt to reconcile them better with each other and with what was to become CONSER. This has now been done, and it is evident that the Library is fully committed and prepared to make a major contribution to CONSER. Throughout this planning year, LC has been closely involved in the CONSER planning, and the attitude there for cooperation, compromise, and change could not have been better.

No decision on the bibliographic aspects of CONSER has been taken without exhaustive analysis of the problem by librarians well qualified in serials work. As has already been mentioned, Richard Anable is assigned full time CONSER. So is George Parsons, who has worked on the machine-processing of serial records at the national level consistently since 1968. The Council has continued to convene the "Toronto Group"[1] and its various subcommittees as required. To consider the broader management aspects of CONSER and its proper relationship to the abstracting and indexing community, an Advisory Group[2] has been appointed. It has met twice in the last year. In addition, the initial participants in CONSER have been represented in the deliberations; a list[3] of those who met on December 11-12, 1974 with the Advisory Group shows some overlap with the two other groups just mentioned. During that meeting several opportunities were given all conferees to make any comment, criticism, or recommendation concerning CONSER they desired.

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[1]For the names of the members of the Toronto Group, see the Library of Congress Information Bulletin, February 1, 1974.

[2]See Attachment 1 [p. 55].

[3]See Attachment 2 [p. 56].

Now to turn to the most difficult parts of all of this - those decisions affecting the bibliographic aspects of CONSER. First let us examine the proposition that the entire universe of serials should be recataloged consistently by the Anglo-American Cataloging Rules (AACR) before they are entered into any national machine-readable data base. On the theoretical level, this is obviously the best solution. In the real world, several sets of circumstances mitigate against its selection. In the first place, the resources that would be required to do the recataloging job at one place are just not available. Even if all serials had been cataloged exactly according to AACR, they would require significant update almost at once because the rules themselves are changing, and the International Serials Data System (ISDS) Guidelines and the International Standard Bibliographic Description for Serials (ISBDS) will undoubtedly require further change. A change in the rule for the choice of main cataloging entry for serials is even now under serious discussion.

All of this argues very strongly for the most flexible system for serials that can be devised, and if the data base is going to be built in the short term, a division of labor in its construction is needed to take advantage of catalogers and cataloging in many places. This is exactly what CONSER is all about.

It has been suggested that the whole idea of building a comprehensive data base in two years amounts to precipitous action. It has also been said that CONSER should not begin until the rules are settled and much more consistency in local cataloging is available. Considering the fact that Phase I of the National Serials Data Program began in 1967 and we are no further along than we are, it is very difficult to agree with this position. There is something of a chicken-and-egg situation here; a project like CONSER cannot succeed without a high degree of consistency and standardization in serials cataloging in many libraries, but something very much like CONSER is required before that degree of consistency and standardization can be attained.

In CONSER, the intent is to start with several data bases in the MARC serials format, as has been mentioned. The participating libraries have divided up the alphabet among themselves, each agreeing to begin at its assigned point, putting in the records of serials currently received. When each has exhausted its assigned portion of the alphabet, each will proceed through the alphabet, converting the remainder of its currently published serials holdings. The term "converting" here means either keyboarding an entire record or upgrading one already in the file. Note that, in the first effort, the entire emphasis is on live titles. After that, and as time and resources permit, each participant will return to the assigned segment of the alphabet to work on ceased publications.

Two very difficult decisions indeed had to be taken with regard to the way serials are entered in existing catalogs. If there is to be a division of labor, the participants must work from their existing catalogs, if the resulting file is going to be useful to them in the near term. Records in some of these catalogs were entered under at least two different sets of cataloging rules. Of special concern to CONSER planning were the matters of

superimposed corporate headings and latest title versus successive title entry. To oversimplify, superimposed corporate headings occur when a heading established prior to the adoption of the AACR was continued in the catalog as it was, as an exception to the rule, rather than being reestablished under the new rule. Similarly, the AACR and the ISDS Guidelines require the creation of a new serial record whenever a title changes, but some libraries for years lumped what should under the new rules be separate records, one per title, under the latest title under which the serial was published. These compromises with the rule were made mandatory by economic forces; it was not possible for very large libraries to go back and recatalog everything when the rules changed. The result is that the bulk of retrospective serial records are not cataloged under the successive entry principle, and many include superimposed hearings.

The goal of the CONSER Project is a single file with a single set of rules consistently applied. This can only be the Anglo-American Cataloging Rules as these apply to serials. A clear need exists, however, to accommodate the requirements of the International Serials Data System and the ISBDS. To illustrate: it would border on the irresponsible to build the CONSER file without providing for the Key Title of the ISDS. Key Title is not part of AACR; neither is the International Standard Serial Number. Both can be added to the CONSER record as they are available without doing violence to the record. That is the intent - to build a composite format which will accommodate the variations from the AACR that exist in the real world, while still providing records for distribution that comply with the rules completely.

In CONSER the Library of Congress and the National Library of Canada continue to act as the final bibliographic authority. Both libraries will have the ability to call up CONSER records, compare them with the official catalog, upgrade and/or authenticate certain data fields according to AACR and the ISDS Guidelines (e.g. name fields, Key Title and ISSN). When authentication has taken place, the system will preclude further alteration of the authenticated fields by anyone for any purpose except for the correction of errors under carefully controlled procedures. It is seen, then, that in CONSER the ultimate responsibility and authority for the records rests with the Library of Congress for all except Canadian imprints.

The decision to be made was clear: either build the file at a rate that would permit the prior bibliographic upgrading and verification of each record, or put bibliographically inconsistent records in at first and then work them over as time and the resources made available by the division of labor described above would permit. After much deliberation and consultation, especially with the Library of Congress, and with an overwhelming majority of the Advisory Group and representatives of participants agreeing, the second approach was chosen.

Several points need to be made here. LC began cataloging serials by successive entry before serial records began to appear in the MARC Distribution Service. A decision has been taken to withhold MARC serial records from CONSER if they contain superimposed corporate headings. Taken together, this means

that all current LC cataloging going into CONSER will be according to AACR. This is also true of the National Library of Medicine, National Agricultural Library, and the National Library of Canada. Retrospective records entered will, for the most part, require post-entry editing by the Center of Responsibility. Libraries are encouraged to use the CONSER data base but certainly no library is required to use a CONSER record before it meets that library's standards for excellence.

It has been suggested that the CONSER file should not be built unless or until an authority file was designed and built. After careful consideration of the economic, time, and other factors involved, the flexibility of the OCLC system, and the Centers of Responsibility concept, a decision was made not to hold up file-building pending the availability of an authority file, but a machine-readable authority file is a firm requirement for the future. It is worth mentioning that a record whose name fields have been authenticated by one of the Centers of Responsibility can support some authority file functions.

The CONSER plan includes several levels of records. A minimum data element set (within the composite format mentioned earlier) has been defined, below which a record is considered incomplete. The goal, of course, is the most complete record possible, and participants are encouraged to input all available data. Only experience will tell what degree of completeness is possible for retrospective records. It seems to this writer that, given the use of the OCLC system capabilities and the many people who will be contributing to the file, a lot can be done.

That is about where CONSER is at the moment. This past year was taken up with contract negotiations, selection of the initial participants, and grappling with the problems outlined in this paper. Some things are not yet done. As this is being written a meeting on the holdings statement problem is going on at OCLC. The Agreed Upon Practices document which will govern the day-to-day decisions of the participants is still undergoing discussion and revision. The recommendations for change to the MARC serials coming out of CONSER will be given wide publicity as soon as they have cleared the MARBI Committee.

Let me summarize by listing the dates on which the contract requires the signatory parties to exert their best effort to accomplish certain things. These dates are based on the date of execution of the agreement, which was December 17, 1974. (See Attachment 3.)

Attachment I

CONSER

MEMBERS OF ADVISORY GROUP

Organization	Representative
The Library of Congress	Mr. William J. Welsh
The National Library of Medicine	Dr. Joseph Leiter
The National Agricultural Library	Mr. Richard Farley
The National Library of Canada	Miss Hope Clement, Ottawa, Canada
The National Serials Data Program	Mr. Joseph Price
The National Federation of Abstracting and Indexing Services.	Mr. J.R. Smith (BIOSIS), Philadelphia Mr. James L. Wood (CAS) Columbus, Ohio Mr. Ben H. Weil (EXXON), Linden, N. J. Ms. Betty Bryan (ASM) Metals Park, Ohio
The Association of Research Libraries	Mr. John McGowan, Northwestern University
The Federal Library Committee	Mr. James Riley, Executive Secretary
The American Library Association	Mr. Paul Fasana, New York Public Library
The ALA Committee on Machine Readable Bibliographic Information	Ms. Ruth Tighe, NELINET (present member) Ms. Velma Veneziano, Northwestern University (past member)
The ALA Large Research Library Serials Discussion Group	Ms. Susan Brynteson, University of Tennessee
The Joint Committee on the Union List of Serials	Dr. Karl F. Heumann, Asst. Executive Director
The Ohio College Library Center	Mr. Fred Kilgour, Director
The Special Library Association	Ms. Idris Smith, Kansas City Public Library
The State University of New York (SUNY)	Mr. Glyn Evans, Albany, New York
The Ad Hoc Discussion Group on Serials Data Bases (Toronto Group)	Mr. Jay Cunningham, University of California in Berkeley

Attachment 2

CONSER

List of Participants in the Dec. 11-12, 1974 Meeting

Dr. Joseph Leiter ----------National Library of Medicine

Mr. Joseph Gantner----------National Library of Medicine

Mr. Samuel Waters----------National Agricultural Library

Mr. Richard Farley----------National Agricultural Library

Mr. Van Judd----------New York State Library

Miss Idris Smith----------Special Library Association

Mr. Paul Fasana----------New York Public Library/ALA

Mr. Frederick G. Kilgour------OCLC

Mr. David Weisbrod----------Yale University

Miss Hope Clement----------National Library of Canada

Mr. James Wood----------Chemical Abstracts Service

Mr. John McGowan----------Association of Research Libraries

Mr. Ryburn Ross----------Cornell University

Miss Betty Bryan----------American Society for Metals

Mr. Jay Cunningham----------Toronto Group

Mr. John Aubry----------Five Associated University Libraries

Dr. Ralph Hopp----------University of Minnesota

Mrs. Lois Upham----------University of Minnesota

Mr. Glyn Evans----------State University of New York

Mr. Ben Weil----------EXXON

Mrs. Gail Bernhard----------BIOSIS

Mr. William J. Welsh----------Library of Congress

Mr. Joseph Price----------NSDP/Library of Congress

Mr. Joseph Howard----------Library of Congress

Mrs. Lucia Rather----------Library of Congress

Dr. Karl Heumann----------Joint Committee on the Union List of Serials

Mr. Charles Husbands----------Harvard University/MARBI

Miss Susan Brynteson----------ALA (LRLSDG)

Mr. James Riley----------Federal Library Committee

Dr. Fred C. Cole----------Council on Library Resources

Mr. Lawrence G. Livingston-------Council on Library Resources

Mr. George A. Parsons----------Council on Library Resources

Mr. Richard Anable----------Council on Library Resources

Dr. Herman B. Fussler----------University of Chicago
(observer)

Attachment 3

CONSER

CONTRACT TARGET DATES

1.	Delivery of MULS File to OCLC by CRL	Dec. 28, 1974
2.	CONSER Participants order terminals	Jan. 16, 1975
3.	Telephone lines ordered by OCLC and installed	March 17, 1975
4.	OCLC completes reprogramming of LC output	March 17, 1975
5.	LC tests output requirements	April 6, 1975
6.	Terminals installed	April 6, 1975
7.	OCLC completes loading of LC-MARC Serials	April 16, 1975
8.	OCLC completes loading of MULS file	April 16, 1975
9.	CLR completes scheduling of input of records by each CONSER Participant	April 16, 1975
10.	OCLC will complete programming for conversion, processing, and loading of, and will load, NLC CANMARC-S records as soon as possible after loading the MULS File	
11.	LC begins authenticating records	May 16, 1975

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BUSINESS MEETING

MR. HOPP: As we begin the afternoon session, I want to thank Mr. De Gennaro and the group that participated in this morning's presentation. I think we all found that very stimulating and challenging.

There has been some expression of interest that after the transcript of this session has been edited, it be issued as a separate publication for easy distribution to our respective staffs. If we do it at all, we would probably make the publication in the form of a pamphlet, and we would probably have to recover our expenses. Assuming that it can be done and assuming some very modest cost for it, how many people would be interested in copies? [The majority of those in attendance raised their hands as an expression of interest].

MR. KENNEDY: It was such an excellent presentation this morning, I would suggest that if we ever had an opportunity again for a technical discussion of that type, it should be videotaped. I think we would have much more opportunity to work with our own staffs if they could view the presentations.

* * * *

White House Conference on Library and Information Services

MR. HOPP: You heard a brief report this morning from Alphonse Trezza, the NCLIS Executive Director, and I am very pleased that Frederick Burkhardt, the Chairman of the Commission, has agreed to bring us up to date with respect to the thinking of the Commission on the White House Conference on Library and Information Services.

MR. BURKHARDT: I would like to take this opportunity to begin with a personal remark which has nothing to do with the White House Conference. As about 30 of you know, I have been devoting my retirement to a research project having to do with an edition of the collected letters of Charles Darwin, and it has been quite an experience communicating with many of you, looking for those letters. As Chairman of the National Commission, I think I learned a lot about library regulations and rules concerning getting copies of manuscripts and I would like to pass on some of my generalizations. I will not do so at any length, but the ARL Committee on Access to Manuscripts and Rare Books might like to hear me discourse on a few of these items.

There is one aspect that I would like to mention to all of you because I think it is a common problem for scholars; that is that some libraries have regulations about manuscripts and sending out copies which for all practical purposes stops research. This is because of the regulation that says that you must have the permission of the copyright owner, the legal owner, in order to get a copy. Now that is rather easy in the case of Darwin, but there are all kinds of research projects where, because you would have to spend so much time finding out who had the copyright, you just could not do the research.

I will give you an example which is far from home so it will not embarrass anyone here. I have the choice now that if I want to see a letter written to Darwin, I have to go to Whittingham, Scotland, to look at it. I am not sure I could see it, even there, and there may be difficulty in finding out who has the legal rights to these letters. And so, of course, I quit. I simply have to; you cannot conduct research that way.

On the other hand, I do not want to dwell on this negative side, because the cooperation I have had from all of you has been wonderful and remarkable, and things such as I am doing simply could not be done unless librarians were willing to enter into this and tell the researcher what he needs to know to do it. I must say that it has been a truly wonderful experience to me, and my mail has been really wonderful as a result of your generous support. I do want to thank you for it.

Now, as for the White House Conference, let me tell you first what the facts are, and then bring you up to date on what we think has to be done. The President has signed a Senate Joint Resolution which asks him to call a White House Conference on Library and Information Services no later than 1978. It authorizes three and a half million dollars for that purpose, and it also says that there shall be a 28-member advisory committee established. The advisory committee will be composed of five people appointed by the House, not more than three of which shall be members of the House, five people appointed by the Senate, not more than three of which will be senators, three people appointed by the Chairman of the National Commission, and not more than 15 appointed by the President. As Chairman of the National Commission, I presumably have, according to the text, the right to appoint up to eight in order to make it possible to have a quorum for this committee in case the President or the Senate or the House does not take advantage of all its appointments. That is a contingency that I think is unlikely.

The National Commission has the responsibility to organize this Conference, including the planning for what the Conference should be doing and what should happen, and there should be conferences in the states and so forth. The Librarian of Congress is authorized to give us personnel if we request it.

Now those are the facts. The first issue that we must be clear about is that we have an authorization but not an appropriation; we still have to get the money, and that is not by any means a foregone conclusion. As you probably know, the White House Conference idea had a lot of opposition from the Administration. The Department of Health, Education and Welfare was against it. The Office of Management and Budget was against it and so testified, and although it did get a majority in the House, it did not succeed in getting the two-thirds majority which it tried to get the first time around. So there is a lot of opposition, a lot of skepticism about the value of this; these people are going to have to be convinced. The House Appropriations Committee is the Committee that will have to be convinced to provide this money.

Also in these times there is going to be the problem of whether we are going to be able to get the money all at once, or is it going to be dribbled out? The manner in which this money is handed to us can affect the planning very seriously. A lot of things you cannot do until you have the money in hand are going to have to be worked out rather carefully. So there are a great many obstacles still to overcome, and that will require a rather articulate position on the part of the Commission and all the people who really want this Conference to take place.

The other problem is that when we first worked out this White House Conference, we had a plan very carefully formulated which called for 56 state and territory conferences and ten regional planning conferences, and finally a White House Conference as the climax. The Congressional Record quotes me as saying that I think the White House Conference will be the "climatic" conference. ALA has picked that up, and so now I am in favor of the White House Conference as a "climatic" conference. Really, we plan to have a climactic conference in Washington with 2800 people attending.

Now all of that costs ten million dollars. They have given us $3,500,000 so obviously everything is going to have to be trimmed down. It takes a very simple amount of arithmetic to be able to see that the critical aspect of this Conference is going to be what happens in the states. The reason we felt that the Federal government ought to support almost all of the expenses of these conferences was that we could not see how we could really guarantee that there would be some kind of uniformity of consideration of national problems in addition to local and state problems. It was not that we wanted to tell the states what to discuss, but we wanted to make sure that they did discuss certain problems in addition to the ones they would have chosen.

So with the amount of money from the Federal source severely restricted, you have to decide how big a conference you can now afford at the end. You have to decide how much your staff is going to cost and what materials you are going to have. If you have $10,000 a piece for each state, you are not going to be able to do very much, but as soon as you get up to $30,000, which is not very much either, to support state conferences, you have spent almost half of the budget right there. So it is going to be terribly important, if you people want research libraries to be involved in the state planning, to see to it that the state plans and the state organizations are such that you get the kind of results that you think ought to come out of these things. Most of the initiative and most of the money is going to have to be supplied from the state level.

Unfortunately, since the resources of the states are so uneven, that will also mean that some of the conferences are going to be very minimal affairs, and others are going to be much better and bigger affairs. All of that is, I think, partly the result of the very severe economic situation that faces the government and partly the result of a kind of apathy toward White House Conferences in general. The Administration quite naturally feels that what we tend to bring about with these conferences is a kind of laundry list of all the things that people want done, simply expressions of needs and demands with no critical attitude, and the fact that this all happens down in Washington

with the President giving his blessing to it somehow obligates the Administration to do something about these things. And so they are reluctant to put their necks out on this, especially with money being so tight. So we are rather hopeful that we will be able to get a White House Conference together that might have a kind of idea running through it that what we should concentrate on is not so much only needs but solutions, and get the kinds of people who can make those things happen that are necessary to happen.

I think you have got to bear in mind that any solution to the national problems will be of such a magnitude that the Federal government will be able to supply not much more than 15 or 20 percent of the funds needed; 80 percent, let us say, is going to have to be found outside of the Federal level. The plans and the solutions and all of the discussion will have to take place with the concept in mind that unless things are solved down in the municipal, local, regional and state levels, they are not going to get solved.

Now in the long run, of course, the Commission's basic interest in a White House Conference is that we are concerned with this national program. We want to turn this into a series of educational events which will show what a national library program can do for this country, why it is needed, and what ideas there are for making it go. As we see it, that will be one of the big things that can come out of this White House Conference.

That is about where we stand. As I said, the facts are very few. The prospects are not as bright as they might be, but I think it will be all right. The biggest thing in favor of the conference going on is that what started this originally was a resolution of the then minority leader, Gerald Ford. I think that is a help in the present Administration.

* * * *

Election of New Board Members

MR. HOPP: We have four members of the Board of Directors who have completed their terms: Roy Kidman, Warren Kuhn, William Budington, and John McGowan, who has served briefly since last May as a substitute for David Heron. We want to thank these men for their service on behalf of the membership, particularly William Budington who has led us for a year as President, and of course, for three years on the Executive Committee. I am going to call upon Richard De Gennaro, Chairman of the Nominating Committee, to present his report at this time.

MR. DE GENNARO: The Nominating Committee consisted of William Dix, Basil Stuart-Stubbs and myself as Chairman.

The following are candidates for the three, three-year terms: Richard W. Boss, University of Tennessee; Richard W. Couper, New York Public Library; Edward C. Lathem, Dartmouth College; Vern M. Pings, Wayne State University; and Russell Shank, Smithsonian Institution. The candidates to fill

the vacancy caused by David Heron's resignation are: Page Ackerman, University of California, Los Angeles; Ellsworth C. Mason, University of Colorado; and Bruce Peel, University of Alberta.

Are there any additional nominations from the floor? [There were none].

> [Tellers selected for the election were Warren Boes and Roscoe Rouse. After a short interval, Mr. Hopp announced the results of the election].

MR. HOPP: Elected for three-year terms on the Board are Richard Boss, Edward Lathem and Russell Shank, and for the two-year term, Page Ackerman.

I should give some explanation as to the term of office that those elected will serve. We have typically had January as the changing of the guard for Board members and Officers, but we have, as you know, changed the meeting schedule so that we will be meeting in the Fall, probably October or November, and in May. The Board talked about which meeting would become the annual meeting. It seemed that logic favored the October meeting, which means that my successor, Richard De Gennaro, will serve as President from five o'clock this afternoon, until October as President; the Directors that had been scheduled to serve until January 1976 will actually only serve until October 1975; and then October, from that point on, will be the transition date.

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Report of the Commission on Development of Resources

[The Report of this Commission is included as Appendix A of these Minutes].

MR. HARRER: I have one thing to add to my written report which you all have received. The action of a group convened by the ACLS, which really was the reason for this Commission's inactivity during this year, has apparently almost come to fruition, though I hear this only through other sources. A study program has been proposed which is a rather extensive investigation into the various facets of the problem of scholarly production and distribution of knowledge. We are waiting to hear more details regarding the two-year study. I hope that the proposal for the study will, at least, indicate to our Commission that we have something else that we can do, or that we can retire for a couple of years until the study produces some results.

At any rate, the best I can say is that our Commission composed of Page Ackerman, and Basil Stuart-Stubbs and I are anxiously awaiting the results and the publication of this study proposal. We would be very happy to have any suggestions from anybody, either here now or some other time, as to actions that our Commission might take along appropriate lines.

* * * *

Report of the Commission on Organization of Resources

[The report of this Commission is included as Appendix B of these Minutes].

MR. BUDINGTON: This is the Commission you will recall, which has to do with the technical processes area. You will also recall that we changed our method of organizing the Commissions and selecting chairmen last year so that the chairman now comes from the Board of Directors, so they selected the most reactionary reference librarian, to wit, me, to put in charge of technical services. We picked up the Commission recommendations from the report of the preceding chairman, Stanley McElderry. I think all of you received copies of the report which was put together by Joseph Treyz, John McGowan and my[illegible] Many of these things are being reported on in much more detail, [illegible] by other speakers today or in other written reports.

The first item that we spoke to in our delibrations was CONSER, and of course, we are going to have a good presentation from Lawrence Livingston this afternoon. Machine-readable data and bibliographic control occupy a great portion of the attention of all of our members and their staffs, and this morning's program, I think, was an excellent example of the concerns which are surfacing. We, all of us, realize we have some important times ahead. The other items which we discussed were, in brief, the blanket order plans which many of us have been involved with. The question had been raised as to whether ARL ought to try to lay down some guidelines or advice to its members on acceptance or management of blanket order approval plans, and in these perilous days and times our decision was that it is every man for himself in this matter.

I think there is no need for me to go into detail regarding the report, except to again say that this Commission and all other Commissions welcome suggestions from the members as to areas to which the Commission should turn their attention in the task which they now have, which is monitoring and weighing the problems which we have before us.

MR. NELSON: I would like to ask a question in reference to one statement here in the report: "Of great concern is the role which the information industry is gaining for itself in advising and influencing the Federal decision-making process." Do you see a conflict there between the interests of librarians and the research libraries and this trend?

MR. BUDINGTON: This gets into a rather contentious area which I would prefer not to deal with in great detail. It probably reflects, fortunately or unfortunately, some of my own personal concerns. I do see some areas in which the information industry and the library community do not always have the same objectives in view. There have been instances in this specific case where members of the GPO Advisory Committee appear to have been "loaded" with representatives from the information industry. This is the way it would appear on this side. I am sure that Mr. Milczewski would stand up on the other side and say there are certain areas of representation which are overloaded with librarians.

I think as we go through various matters -- copyright being the most obvious, the thing to keep in mind is that this is indeed a matter on which all of us are working together, rather than in opposition. It is a trade-off; one time somebody wins, the next time, they lose. But it is something about which we have to keep a positive attitude, and if this reflected too much of a negative attitude, my apologies.

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Report on the Commission on Access to Resources

[The report of this Commission is included as Appendix C of these Minutes].

MRS. WHITNEY: I would like to remind you that my colleagues on the Commission are John Berthel and Richard Boss. The Commission on Access to Resources has agreed that among all the many avenues of access it might pursue, for the present it will continue to concentrate its efforts on exploring the success of the library user in using the library. For example, some of the items which might be measured to produce success rates are: What percent of the time does the user approach the collection through the card catalog and find the library owns the item, and then, that item is available for use? If libraries could measure and inform themselves on their ability to meet the needs of their patrons, library plans could more easily and quickly be adapted to reflect the changes needed.

Decision makers for library operations could be better informed. The Commission agreed that no one institution could muster the staff to investigate new evaluative measures, but that a subcommittee working alone or with the aid from the ARL Office of Management Studies could perhaps do so, that comparability/standarization of method is essential; that ARL ought to move forthrightly in promoting evaluative service criteria.

The Commission agreed also it has two objectives: first, to provide methodology to measure quality of library service; and second, to study methods of improving services through improved access. The Board has reviewed the Commission's report and suggests it continue along the lines suggested in the report.

My colleagues, John Berthel and Richard Boss and I would welcome criticism and suggestions from each of you. We would also appreciate your suggestions if there are new tools needed to improve the accessability of existing material, such as bibliographies of special collections. In other words, we would welcome all the help we can get.

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Commission on Management of Research Libraries

[The Report of this Commission is included as Appendix D of these Minutes].

MR. McELDERRY: The meeting last night essentially dealt with the Office of Management Studies which the Management Commission advises. I would like to just relay a few observations about that. Many of you were at the meeting. We covered a wide range of subjects. I was struck with the notion that some people view management as the kind of problems that you deal with, and other people look at management as the skills, the technique, the art, the luck or whatever it is, that goes into solving problems and making things happen.

There was also some difference of opinion about how such skills or such problems are dealt with. Some viewed training as essentially concentrating on awareness issues, so that people are more aware that such a problem exists and some of the ways that it might be resolved. Others tended to look on the transmission of whatever management is as a very formal mode of instruction which would be as complete and lengthy as need be. Others looked on it simply as information exchange, and I think viewed the process as one of gathering people together to console each other.

Whatever it is, the essential point about the Office of Management Studies that I think is important to realize is that its resources are finite, that it does have to make choices and concentrate on the issues that are the most important to the membership as a whole. I think we got a pretty good inventory of the kinds of things that you were concerned with during the session last night. The discussion also tended to reinforce the kinds of activities that the Office of Management Studies has been engaged in.

One of the essential points, I think, that you have to realize is that, given finite resources in a wide range of things that the Office of Management Studies could deal with, not everything is going to happen as quickly as you might like. We are going to have to look on the funding of this Office as an increasing responsibility of ARL, or attract some alternate funding sources. The judgment of the Commission is that total cost recovery is simply unrealistic at this time. Even though the problems are very severe, there just is not enough money to charge people full cost recovery for the services received. So we are dependent on some outside sources for funding. But at the same time we feel that there are possibly things that the Office of Management Studies could do that could increase revenue for some of the products produced.

In terms of the Commission itself, it inherited two problems to deal with which we were able to dispose of rather quickly in the first meeting. One had to do with statistics, and we felt that since the National Center for Educational Statistics was dealing with the problem at the present time, we should not get outselves too involved in this or look at new ideas until we saw what came out of that effort. The OE handbook on library statistics that is being developed is to be published this Spring. We will have to wait and see what that looks like before we take the next step.

The second issue, collective management, was referred to the Management Commission, and we felt there was no real organizational issue which involved that question, so that we would only be looking at it in the abstract.

In the report of the Management Commission which you have, we listed a number of areas for further consideration which would be in the nature of recommendations for task forces or committees. These have to do with university library standards, improved library statistics, the issue of library governance in the sense of internal problem-solving mechanisms, collective management (which is simply postponing an issue that we did deal with previously this year), and library education. This last is listed as an area where we feel the library schools are not preparing people adequately for management responsibility; we need at some point to try to state our opinion on that issue. A final notion that we had for future work has to do with the assessment of existing staff development programs. In a sense this will be done through special flyers that are developed through the Office of Management Studies. At least we will know the current state-of-the-art as to what we might do in the future.

MR. MILCZEWSKI: I wondered whether the Commission in thinking about the improved library statistics, has thought of this in somewhat larger terms in trying to get at management information systems, of which library statistics are only a part?

MR. McELDERRY: Yes, we are aware of that limitation. Our main concern was that current statistics are largely descriptive. They give us no information on how to evaluate our current performance or to have the other kinds of management information we need to improve our services. So we are aware of that broader aspect of it. We are also aware of the point made by William Baumol and Matityahu Marcus that large academic libraries, in particular, have the longest time series of data about their growth and development of any other major group of libraries, so there is some reverence for continuing our present mode of statistics and not altering them drastically until we know the kind of management information that would be most helpful.

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Report on the Commission on External Affairs

[The Report of this Commission is included as Appendix E of these Minutes].

MR. DIX: If you look at the report of this Commission, you may have seen that after a couple excuses alluding to why this Commission had not done anything, I raise what seems to me a fundamental question of just what the role of this Commission is in our present structure. It may have sounded negative; I did not mean it that way. I hope this Commission will be reconstituted tomorrow morning by the Board, and that the new Chairman, will continue to give some thought to this. Let me illustrate the problem as I see it though, and put it in a somewhat more positive sense.

This Commission's role, in a sense, is that of a Department of State, a Ministry of Foreign Affairs. It is to deal with "foreign powers" -- "foreign powers" presumably being the ALA or the SLA or the ACLS or whatever. My problem is how you deal with these other entities in the abstract. You need to have something concrete, and the role is rather cut out by the other Commissions. On the other hand, I think it is important to keep trying, and I maybe can illustrate it by citing Frederick Burkhardt. In the late 1940's, I was a member of the Association of College and Research Libraries' Board of Directors, and we conceived the idea of communication with the various learned societies. I was told to go and talk to some. So I went to the fountainhead of learned societies, the American Council of Learned Societies, to speak to Frederick Burkhardt, the Chairman. He and I discussed this at some length, but we did not see how exactly one could work out a continuing program. We agreed that we should keep talking with each other.

Then some years later, in part I think because of these conversations, Mr. Burkhardt took the initiative and set up an ACLS Committee on Libraries composed of some librarians and some scholars. I know the conversations were useful, but after several years of this, I think we all came to the conclusion again that there was really not very much for this group to do as a group. However, the point of all this is that I like to think that because of all of this exposure under Frederick Burkhardt, ACLS has become the leading foreign power in the country with which libraries deal personally, as it were; I think part of his interest in libraries that has led him to spend so much time on library matters comes from this long discussion back and forth with librarians. So I think this Commission somehow ought to find ways to keep a dialogue going with the various groups with which we interact, but I do not quite know how to do it. That is the point of this whole report.

MR. STUART-STUBBS: Here I am interfering in national affairs again, but I notice in the last issue of the newsletter from the ALA Washington Office, there has been created, as a result of the copyright bill passed during September, some kind of commission on copyright, five members of which were to be users of copyrighted materials. I do not know whether it is the function of this Commission or not, but I hope that somehow or other we can address ourselves to them or even have an ARL member as one of those people on the Commission.

MR. DIX: It seems to have been the interpretation which I inherited when I became chairman of this Commission that all matters concerned with Federal government directly are in the custody of our Federal Relations Committee. Maybe this Committee ought to move in, if appropriate.

MR. McDONALD: I would say that although we certainly need to rely in large part upon the Federal Relations Committee for work in this area, the staff willy-nilly is involved since we are on the Washington scene; and as an association I think you have expected us, if not charged us, with the responsibility toward some of the agencies concerned. We try, I think, very diligently to keep you posted on our activities and make sure that we do not get too far out in front of what you might wish us to be doing.

MR. SHANK: There are a number of people in this room who have served on the ACRL Committee for Cooperation with Educational and Professional Organizations. I am the current chairman of that committee. We have exactly the same problem with viability. Everyone agrees that there are agencies with which there should be relationships developed. I wonder perhaps if we ought not get together and discuss this, and see if another mechanism other than a continuing committee might be appropriate.

MR. BRYANT: Despite a great many lunches and a great deal of effort, I would like to add that the ACLS Committee came to the conclusion after three or four years of meeting that really a continuing body of liaison somehow could not be effective, and that the work would be carried out with respect to specific issues at particular times. I think this is correct.

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Report of the Committee on University Library Standards

[The Report of this Committee is included as Appendix F of these Minutes].

MR. HOPP: For some time now there has been a joint committee of the Association of Research Libraries and the Association of College and Research Libraries that has been involved in developing a proposed set of standards for university libraries.

The Committee under the chairmanship of Robert Downs has now set down some suggested standards which Mr. Downs will talk about briefly this afternoon. I think the membership has received the committee's draft, and we will presume you have read it and thought about the standards that have been suggested. Therefore, Mr. Downs is not going to get into the details of the standards but will dwell more on the broader aspects.

Following his remarks we will take a brief time, five or ten minutes, primarily as a means of input to the Committee and to the ARL Board of Directors for their further deliberations. In other words, this is not an action report today, but is presented primarily for information and preliminary reaction. The Board of Directors has not made a recommendation on this draft as yet. We do expect that whatever will be the final report will be presented at the May meeting of the Association in Houston. We now anticipate that we will be having an action report in May; in other words, we will be presenting it for your approval or rejection, as you will. So at this time I would like to call upon Robert Downs to present something about the report.

MR. DOWNS: The report which is now in your hands represents intermittent efforts over a period of several years. In short, it has gone through a kind of an evolutionary process with a great deal of input. Several years ago when Stephen McCarthy called me to ask if I would serve as Chairman of the Joint Committee, I thought that it was an excellent idea and I accepted without hesitation. I thought that standards have been a useful tool in

college libraries and various other types of libraries, so why not for university libraries? My innocence and naïvete soon came in for several rude shocks. There was no general agreement on the definition of a university or of a university library. Second, I discovered that some university librarians were adamantly opposed to standards on the theory that they level down rather than up in the case of superior institutions, and were, therefore, more likely to do harm than good in the case of libraries. Third, perfectionists insisted that if we were to have standards, they should be qualitative, not quantitative, and how is one to measure quality? A fourth point on which differences were found was areas for standardization. Obviously, they are almost infinite.

Well, after a number of meetings, much correspondence, input from a variety of knowledgeable individuals, there evolved the document now in your hands. The Joint Committee in this report has proposed standards relating to six basic areas: resources, personnel, space, finances, public service and administration.

If this set of recommendations, with any amendments and revisions which may be decided upon, is accepted by the ARL and the ACRL, it is my opinion that it should be adopted in principle only. It would need, I think, a testing period of three to five years to determine its validity. In fact, it should be subject to periodic revision, because quantitatively especially, it would change with time.

In drafting the criteria for this document, local and other existing standards were drawn upon as far as possible, including those from Canada, California, Washington State, Clapp, Jordan, Metcalf, Ellsworth, and various others.

It seemed to the Committee that these might constitute a sounder basis than trying to dream up some out-of-the-blue standards which had not been tried at all. But those standards which we have adopted from other sources we have in a number of cases adapted to our special requirements.

There was one area in which I was not particularly satisfied, but we are using it because we did not have any other source: the formula for staffing on page 12 and 13 of the report is the Washington State formula. I think it is too elaborate and perhaps too difficult to apply for most librarians who are not statistically minded. I would prefer a less complex formula for actual application, but we have found none which seems satisfactory. Melvin Voigt at the University of California, San Diego has been working for some months trying to develop a formula which would be applicable to the California institutions, and perhaps he will come up with something which will be useful. I have discussed this with Marion Milczewski who tells me that the standard which is in the report has proved reasonably satisfactory in practice. He thinks it may be somewhat on the generous side, but over a period of years, I think the Washington State institutions have found it a reasonable one.

That is all I wanted to say about the report. If there are any questions or comments, I would be very pleased to hear them.

MR. ATKINSON: There are two places where I find I have a political difficulty with the report. The first is the phrase on page 15: "A drift toward dangerous unionism makes it difficult for those of us who may well be facing collective bargaining." I would just as soon not make the report more divisive by including this, and it does not add anything to the substance of the report.

MR. DOWNS: I agree with you on that, and another comment to that same effect was made by one of the Canadian librarians who suggested the deletion of the phrase. I am quite willing to delete it.

MR. ATKINSON: The other one is on page 4, in the description of the essential independence of research institutions. The tone of that paragraph is one which may well be right, but within the institutions that I am familiar with, provosts and presidents who do not, in fact, apply the standards that we are arguing with, tend to seize on interinstitutional cooperation as a necessary thing. I would prefer a set of standards which had some more soft answers on interinstitutional cooperation. Otherwise this could upset the university administration who might then disregard the rest of the standards on the grounds that we were the same old uncooperative bunch of librarians we always were. In other words, emphasize the resource sharing and deemphasize the independence.

MR. DIX: At the risk of being kind of an old fogey, I guess, I have got to state my own feeling that we would be better off without a set of hard numerical standards. The collection of statistics for comparison that your committee got out several years ago seems to me extremely valuable. I still use it all the time, and the compilation of means, of medians, of existing factors, and this kind of thing, I think, is very useful. But when we vote as librarians for numerical standards, it does seem to me that this is inevitably going to have a tendency to drag down those institutions which have already surpassed the standards set.

I welcome standards myself in the area of salaries because I use it to prove our salaries are low. Where we are already above some kind of standards, I tend to sweep these under the rug, if I can. I just wonder again if some kind of document that cites and gives a lot of medians or something of the sort, that discusses the various formulae for this and that, but that nowhere says we librarians believe that is a standard figure for this or that, might serve all of us better. Now I know all the arguments against it, and you stated most of them, but I could not sit here without making that statement, at least.

MR. DOWNS: I think you are suggesting that any standards which may be adopted would be maximum standards, which is certainly not the intention of the Joint Committee. These should be regarded always as minimum standards, and anything you can do beyond this makes your library a superior one. I know there is a very strong feeling among some librarians that quality should receive primary emphasis rather than quantity. I personally favor something solid and concrete, because I think when you get into statements of quality standards,

it usually ends up with a lot of empty rhetoric, and unless you have something you can put your finger on, you do not have anything much to go on.

MR. ROGERS: There are two things that alarm me slightly. One is relating size of staff to student enrollment. I am glad I understood your remarks to mean that you were not satisfied with that. I would just like to say I for one am totally unsatisfied with that. It produces a ridiculous result when applied to Yale.

I also wonder on what grounds on page 22 you were prepared to say the materials should be classified, cataloged, bound or otherwise processed centrally, except certain nonbook materials. I can think of several reasons, because of availability of space, peculiarity of a notation system or a language, when this does not necessarily hold.

MR. DOWNS: You would prefer decentralized to centralized processing in some cases?

MR. ROGERS: Not totally so, but I think a flat statement like this is simply not appropriate. I think this is listed as a principle, and it is very often included in library bylaws and statutes. I think the general principle is sound, but of course, you might have local conditions which would make it impossible, and as indicated here, there are certain types of materials which might be better cataloged in a decentralized fashion. Maps would perhaps be one, as well as slides, picture collections, and various other types of nonbook materials.

MR. BOSS: I have two reactions as to whether there should be minimum standards, a large number of public institutions are finding that higher education commissions or other state bodies are developing formulae for funding education, and they, as your group did, looked to existing formulae or standards as the basis.

We have the unfortunate experience in Tennessee that the ACRL college standards were applied to determine the basis of funding for all types of institutions, including comprehensive universities, in the absence of a university standard. The second paragraph of the ACRL standards say they are not applicable to the universities that stress research and have Ph.D. programs. However, it was used in Tennessee as the only thing available.

I would urge especially for those in public institutions, that the failure of those within the library profession to develop standards for university libraries that are minimum standards may result in actions of this type by nonlibrary bodies, and they may have a very detrimental effect. A lot of decisions we make are forced on us by our environments rather than being our choices.

The second reaction I have is that the relationship of staffing to enrollment is most unfortunate, indeed, because it depends a great deal on the climate of an institution. In our particular institution the enrollment

has increased only about four and a half percent a year. Library use has increased 30 percent to 60 percent a year for the last four years. You have got to look at the pattern of library use. If you take a look at the library attendance, something like twice the number of students enrolled in the institution comes to the library each day.

MR. SKIPPER: Since you mentioned these are in reality minimum standards, to avoid confusion in application in the future, should not the title of the report include the word "minimum?" -- Minimum University Library Standards?

MR. ESPLIN: I will have to make clear the point of view I am speaking from. That is first, the point of view of the Canadian library; secondly, the unfortunate fact that I was only able to read this last night, so I have only vague impressions -- I cannot back them with facts, but let me make two points in relation to the Canadian members of your Association: one is that Canadian practices tend in some instances to be different from United States practices, and indeed, in your report you have noted this. I do not think that a report of this kind, if adopted and seen to be a standard in the United States, would, in fact, be helpful. In fact, I think it would be very damaging to a number of Canadian university libraries.

MR. DOWNS: You are certainly far ahead of us in the level of financial support.

MR. HOPP: Since there are no further questions, this concludes the discussion at this time. Thank you very much, Mr. Downs.

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Report of the Committee on Access to Manuscripts and Rare Books

[The Committee Report is included as Appendix G of these Minutes].

MR. HOPP: I am going to now call upon Ray Frantz who is Chairman of the Committee on Access to Manuscripts and Rare Books. He will speak about a program document that he and his Committee have put together for your consideration. He is going to present it for information at this meeting, and we will be presenting it for action at the May Meeting.

MR. FRANTZ: This a summary report only of the Committee's work. I would like you to know who the members of the Committee are: William Bond, the Houghton Library, Harvard; Herman Kahn of Yale, Past President of the Society of American Archivists; William Cagle of the Lilly Library; James Henderson of the New York Public Library; and John Finzi of the Library of Congress.

The Committee has been working on two statements, one on access to rare books and manuscripts, and the other on reproduction of manuscripts. [The statements referred to here are included as Appendices H and I of these Minutes]. The main concern under access is how does a library balance access to source materials with its obligations to preserve them? Other concerns

include accepting restrictions a donor might impose or otherwise losing an important research collection; restricting collections to protect living persons from an invasion of privacy; demanding by a library official of a user's identification and signature to regulations designed to protect source materials from mutilation or from theft; and the Committee weighed carefully the merits of granting equal access to all users.

With regard to reproduction of manuscripts for noncommercial purposes, a main concern was to distinguish between property rights and literary rights -- in other words, the fact that our libraries own the pieces of paper, but we do not own the words that are on the manuscript pieces -- and to make clear that the burden rests on the user to get permission to publish from those owning the literary rights.

The Committee also wrestled with the problem of what is now called quite properly "mail order research." The technology can lead to the situation where you will wake up one morning and find a list of things that a person will want you to photocopy and send off in the next mail. How much time should that take in the priorities of your work? And finally, the Committee also worked out the obligations that the user had to give credit to libraries holding original materials when copies have been used.

We have the advantage of the draft statements on access and reproduction from the Association of College and Research Libraries, [The statements referred to here are included as Appendices J and K of these minutes.] and an access statement already published from the Society of American Archivists (SAA). The statements follow the wording of this work in some sections, but differ significantly in others. I would like to comment briefly on some of these differences:

1) A key one is under access. The ACRL statements grant equal terms of access to all users. This was modified in the ARL report that will be coming to you with a quotation "unless prohibited by the regulations of the institution;" 2) the ARL Committee statement emphasizes the protection of living persons from an invasion of their privacy; 3) the Committee does not say a library "has the responsibility to inform a researcher of its collections," but that it "should inform." Otherwise, a library might be put on the defensive by the accusation that key materials had been withheld and favored treatment given to another researcher; 4) the Committee felt that a library has the right to ask a user for an official identification and his signature to the regulations of the repository; 5) the library staff also may judge who is to be denied access: people who have misused or destroyed or showed little responsibility toward the collections or have failed to abide by the regulations. So much for access.

With regard to reproduction of manuscript materials, the Committee felt that to require permission from the owners of the literary rights or from the library to make a copy of a manuscript for a user was a practical impossibility. This would entail really a detective job for the library or the user to track down the author, or if deceased, to his heirs, and ask for

the rights. Since it has not been fully decided that a photocopy of a manuscript constitutes publication, the Committee borrowed from the practice of fair use and felt that in the interest of research, copies should be continued to be made for users of a manuscript item if that is within the regulations of the institution.

Regarding the question of copying an entire archive or an entire unit of that archive, the Committee wishes in the interest of research in the marketplace to encourage this pratice provided that there are proper guides to the collections so that the scholar may immediately have access to an archive.

As far as mail order research and other reproductions which require the time of the staff, the Committee feels that the library has the right to set the priorities of that labor and to deny what it feels are unreasonable requests. A library often hates to deny these requests, but at the same time, it has to do it. This may sound rather negative, it is not intended to be. The intention of this group was to have as few restrictions as possible. At the same time, we wanted to center on those regulations we felt were paramount, and also to provide libraries with a statement that they can either use or ignore if they wish, but if they feel that they wish to exercise some of these matters, they have a statement to support their actions.

Now what is the future course? If you adopt the statements presented, that means that there will be three statements. There will be the ARL statement that actually will carry a great deal of authority. There will be the statements that had been printed on access and reproduction by the ACRL, and there will be the statement on access by the SAA. The profession then is burdened with three statements. What the Committee would like to do is to approach ACRL and SAA to agree on one statement -- if not our own, one that is modified so that the profession may live under one statement and not have three competing statements that can, of course, be played against us. It is just a bad posture to have three statements zeroing in on the same matter.

Another thing we think we might do involves the relationship between scholars and our libraries, especially our source materials which are really the crowns of our collections. Most of us have over a million volumes, but it is in the source materials, the manuscripts and the rare books, where research begins, is validated and ends that the relationship between the researcher and the library is strained. Many of you, I think, have read James Thorpe's excellent statement to ALA on the responsibility of the researcher and the responsibility of the archive. I think we can fully understand that a scholar when he is on the track of an idea wants as few hurdles placed in his path as possible; he does not have time to stop and notice or wish to understand many times all the explanations we can give for our trust of this material and responsibility to pass it on to the future generations. We might well (and I would like your reaction to this) take the initiative and approach the Joint Committee of Historians and Archivists of the American Historical Society, bring a statement to them for their acknowledgment, and hopefully gain their understanding to bridge this sensitive gap that now exists between our own profession and those in history, English and elsewhere.

If we do not take the initiative, I think we will lose a great opportunity, because the American Historical Association is greatly concerned by a variety of matters that bear directly on our work.

For example, the naivete of some of the people holding advanced degrees and doing research is absolutely appalling; the mutilation of some of our collections by scholars who feel that their abilities give them a special use of these has created great concern within the AHA. A statement has recently gone out that graduate training should combine elementary matters of ethics and responsibility toward archives or else the library profession will get even tougher than it is at the present time. The thing to note is that they are aware of it, and they already feel we are pretty tough. I do not think we are. I think we need to get in touch with them. I think we need to open communication. If we are successful with the AHA, then we might turn to the group James Thorpe addressed his remarks to, the Modern Language Association. This can be a future course that I think could be quite productive.

We thought of having a national switchyard of quick reference on theft between book dealers and libraries. England now has one. If something is stolen, within 12 to 24 hours almost every book dealer in England, Ireland, and Scotland knows about it. We have no real track on our Tamerlane that was stolen last year. The latest Tamerlane sold for the unconscionable price of $123,000. That must have awakened some professionals who are worried about the state of the economy, and we may be under attack of some people who really know their business as we try to balance access and preservation. This is really the time to open this matter of a quick reference service nationally.

Herman Kahn, as you might guess, adroitly has seen this and has brought such a proposition before the Society of American Archivists for manuscripts. I indicated to him that this might also include rare books. I will further speak with him to see if the ARL can in some way help his group. I think it is a great effort that can be done.

Beyond this for the future I have nothing to say. This is a brief outline of what has been done. If you have more substantive questions at the May meeting, I will be available for questions again. If you have any responses, particularly in regard to taking initiative with the AHA, I would be happy to know how you feel about it.

MR. VOSPER: May I suggest when you start talking to the English literature people, that you might draw the help of Gordon Ray into the group.

MR. FRANTZ: Thank you. He is vitally interested in this. That is an excellent suggestion. I appreciate it.

MR. HOPP: I will repeat what I said before that both Mr. Down's report and the Frantz report, will come back to the Association in May for further consideration and possible action.

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L. Quincy Mumford

MR. HOPP: At this point in the program I want to call upon William Budington to present a resolution.

MR. BUDINGTON: The following resolution was considered favorably by the Board of Directors at its meeting yesterday, and is brought to the membership now for their consideration:

WHEREAS, The Library of Congress has during the past twenty years made contributions of great significance in areas of concern to this Association, these having been accomplished during the administration of the recently retired Librarian of Congress, and

WHEREAS, such contributions include much enhanced development of resources through establishment of overseas procurement offices under Public Law 480 and the National Program of Acquisitions and Cataloging, and

WHEREAS, organization of resources in the Library of Congress and other libraries has been markedly aided by the Dewey Decimal Classification Office, Information Systems Office, the MARC programs, preservation activities and Cataloging-in-Publication, and

WHEREAS, access to resources has benefited by establishment of special area sections, the National Referral Center for Science and Technology, and special services to the blind and handicapped, and

WHEREAS, management of resources is greatly improved by automation of as many internal procedures as possible, the establishment of the Federal Library Committee, Equal Opportunity Office, and National Libraries Task Force, and now the construction of the long-awaited third building,

Therefore, be it RESOLVED, that the members of the Association of Research Libraries, here assembled, express to

L. QUINCY MUMFORD

their great respect and appreciation for his two decades of dedicated service as Librarian of Congress, requiring astute participation in many levels of governmental relationships, a perception of national public and professional needs, a cordial and mutually productive interaction with many professional and business communities and the fulfillment of high expectations in a long and meritorious career.

Mr. President, I move the adoption of this Resolution.

PRESIDENT HOPP: Would all those in favor of that resolution please say "aye." [The resolution was adopted by voice vote of the membership].

Thank you very much, Mr. Budington, for drafting that resolution on behalf of the membership.

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Report of the Assistant Executive Director

MR. HOPP: At this time we would normally have a report from the Executive Director, but today because of the circumstances we are going to call upon the Assistant Executive Director, Suzanne Frankie, to present the report.

MRS. FRANKIE: Matters relating to copyright have occupied a great deal of time in the Office. As you all know, the oral arguments in the Williams and Wilkins Case were presented before the Supreme Court in December. A number of questions were asked of both attorneys. All of the Justices were present. The Court's decision is expected before the end of the present term of the Court, that is, before the end of June. The ARL attorney has been asked to continue to provide us with legal assistance as needed in this regard. We will advise the membership of developments as they occur.

In the meantime, the so-called interim Copyright Bill was passed at the end of the 93rd Congress. There are only three provisions in this shortened bill, one of which involves the establishment of the Commission that Mr. Stuart-Stubbs referred to earlier. The Commission is known as the National Commission on New Technological Uses of Copyrighted Works. Just to briefly supplement what John McDonald has said about the thinking of the ARL in this regard, the purpose of the Commission is to study and compile data on the creation, reproduction and use of copyrighted works in automatic systems and by various forms of machine reproduction. It is anticipated that the Commission would report on the problem of reproduction of copyrighted works by photocopying machines after one year and would complete its work within three years. The Commission is to be composed of 13 members: four from the general public, four from the author and copyright owners community, and four are to be users of copyrighted works. In addition to this, the Librarian of Congress is a member of this Commission, and the Register of Copyrights serves as a nonvoting member of the Commission. Whether this Commission is established and becomes active, of course, will depend upon the favorable action of the Appropriations Committee. Again we will seek to influence the Committee, and have some voice in who is chosen to be members of the Commission, all of whom are presidentially-appointed.

In terms of general copyright revision, the Senate did pass a version of a copyright bill, but it died at the close of the 93rd Congress. There will be hearings in the 94th Congress after the bill is introduced. We are concerned about the inclusion of prohibition of "systematic reproduction." This has been widely discussed and reported in the press, so I will not go into detail here.

In this connection and because of the difficulty of the issues involved here, in November the Copyright Office and the National Commission on Libraries and Information Science cosponsored a Conference on Copyright Issues. As a result of these discussions, which focused on trying to arrive at a consensus between the publishing community and the library community on what constitutes fair use, a working group was formed composed of six representatives from the library community and six representing copyright proprietors. The group was asked to continue these discussions and try to work out examples of what would be a violation of copyright because of systematic reproduction practices prohibited in the proposed new Copyright Bill.

The representatives for the library community include Philip Brown and William North, the attorneys for ARL and ALA, Edmon Low, who is on the ALA Subcommittee on Copyright, Frank McKenna from the Special Libraries Association, Julius Marke from the American Association of Law Libraries and Stephen McCarthy, who is going to continue to serve as a consultant to the ARL on matters regarding copyright. This group has met several times. The discussions are difficult, but they at least do continue to meet and to communicate. The group will make a report to the National Conference Group in February. We will keep you advised of developments here.

Regarding appropriations for library programs, I will just say in terms of Title II of the Higher Education Act, approximately ten million dollars has been appropriated for FY 1975. This is the same amount as last year. It only provides for funding of the $5,000 basic grants. Your applications are due at the Office of Education by January 29th.

Finally, just a brief review of some of the activities of ARL committees within the past few months. The Federal Relations Committee, as has been mentioned, has a new chairman, Eugene Kennedy. One of the assignments of this Committee is to work on the Higher Education Act legislation which expires June 30th. Mr. Kennedy has been asked to work with a group from the higher education community at the American Council on Education in reviewing what might be recommended in drafting new legislation. Hearings are being held and will continue to be held on the various aspects of this legislation. If Congress does not complete their revision of the Act by the June 30th deadline when the Act expires, the existing programs can automatically be renewed for an additional year to allow time for Congress to complete its work.

Other committees have submitted reports, all of which will appear in the published Minutes. I will just mention that the NPAC Committee has been active. It has conducted several surveys to look at the effect of the NPAC program in our research libraries. The results of these surveys will be published, and the Committee will probably report in May after they have had time to analyze some of their findings.

The Interlibrary Loan Committee is one of our most active committees. In recent months it has turned its attention to the SILC project, particularly

Phase II of this project, which was originally conceived as a pilot test of the system and was to include selecting a SILC manager and a testbed for the project. The Committee met yesterday and is going to give a report to the Board tomorrow. Again there will be more information on this important project in May.

I was going to talk about the ARL Academic Library Statistics, but these have been mentioned several times so I will not comment further on this. I do want to say a quick word about the ARL Salary Survey. We appreciate very much the responses to the questionnaire we sent out. We have gotten some very good recommendations for how we might improve our presentation and analysis of this data. I reviewed some of the suggestions with the Board yesterday. Some of them are more easily implemented than others, but all of them will be given serious consideration, and I would anticipate there will be some changes this year.

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The Executive Director

MR. HOPP: Perhaps it borders on carrying coals to Newcastle to introduce our new Executive Director, John McDonald. He recently served one and a half terms as President of ARL, has been active on a number of committees for us, and is probably known to most of you personally.

While you may know John McDonald, the man, quite well, I think it is also important that you know about the solid experience he brings to this new position. He will represent us almost daily in many areas in various circumstances. Therefore, let me just take few moments to acquaint you with John McDonald, the professional.

For the Past 11 years he has been directing the University of Connecticut Libraries. Prior to that he was with the Washington University Libraries in St. Louis, where he held various positions from the Chief of the Reference Department to the Associate Director position. I am going to skip earlier experiences; but would like to tell you that in 1958 he was one of the "knuckleheads"--that is an endearing term, by the way. It is a group of eight librarians including such luminaries as Gustave Harrer, Natalie Nicholson, and James Skipper who sat at the feet of Keyes Metcalf for several months at Rutgers Library School in the Special Administrator's Training Program supported by the Carnegie Corporation.

John has been a library building consultant. The most adventurous assignment was probably in Santiago, Chile for the Catholic University Library under the auspices of the Ford Foundation. This was during a particularly exciting time as President Allende was just coming into power.

Nationally John has served on the American Library Association Council, on the ALA Library Administration Division Board of Directors and the ALA Nominating Committee. Among his more interesting assignments, he tells me

was serving on the United States Office of Education Advisory Committee on Library Research and Training Programs where he served three years, one of which as Chairman. He has been a member of the ARL Board of Directors for many years from 1968 to 1973.

He taught courses in library science at Washington University in Minnesota, and if I had more space on this paper, I would say more, but I think maybe that is enough. I will now ask John to state anything that he might want to say.

MR. McDONALD: ARL Members and Alternates, New Members, Former Members, Friends of Stephen McCarthy and Guests of the Association. I want first of all to thank Ralph Hopp for that generous introduction. He has told you more about me than he should have, but there is one fact he left out, and that fact is that for the second time in my life I am about to become a 90-day wonder. About 31 years ago (when obviously I was hardly more than a boy) the U.S. Navy sent me here to Chicago to make an officer and a gentlemen out of me. I leave it to others to decide whether the second task was ever accomplished, but the Navy did indeed make me an officer -- that is to say that after exposing me to courses in navigation on the Chicago campus of Northwestern University, I received my commission in a stirring ceremony held on the end of Navy Pier far out in Lake Michigan. I became an ensign just three months after entering Midshipman School, and so am entitled to be called an authentic 90-day wonder, a term that the younger people here may never have heard, or if they heard it they may not have understood it. I think back on that distant experience now, not just because I am again here in Chicago, but because I am about to complete another 90-day experience which has had and promises to continue to have an effect upon my life almost as profound and wonderful as that other 90-day experience.

It is a great privilege for me to address you for the first time as Executive Director of the ARL. Knowing something of the prestige and the accomplishments of this organization, I do not enter lightly upon my new responsibilities. I am mindful too of the performance of my predecessor in this position -- about which you will hear more later. So I approach my new duties, if not with trepidation, at least with what I trust is the proper combination of awe and anticipation and confidence in the future of the Association.

I can tell you that my first ten or so weeks at the ARL headquarters have been intensely interesting and extraordinarily busy. Although I served for five years on the ARL Board and for more than a year and a half as President, nothing in that experience quite prepared me for the range and variety and, in some instances, the complexity of the headquarters operation. But that is the fun of the job as well as its challenge, and I assure you I look forward eagerly to what lies ahead. For a time we will all miss Stephen McCarthy's sure-handed leadership, but different people have different strengths, and I hope to make my own sort of contribution in keeping with the changing conditions of the present and the uncertain requirements of the future.

In this effort I will be joined by the truly excellent ARL staff. Among many things that may be said about Stephen McCarthy, it is clear that he leaves behind a strong staff and a sound organization. In addition to our capable Assistant Executive Director, Suzanne Frankie, who does everything graciously, efficiently and, as it seems, effortlessly, the supporting staff is also able and conscientious. Attracting and holding good people is not easy in the face of all the competition in the Washington area; therefore the quality of the staff is all the more remarkable. As for the Office of Management Studies (OMS) and the Center for Chinese Research Materials (CCRM), their accomplishments speak for themselves and attest to the excellence of the personnel involved in both of these important activities of the Association. I shall say more about them in a moment.

Let me first say a word about the financial condition of the Association. As you know, dues are now $2,000 per year for each member institution, or if you choose to look at it another way, one-third to one-fourth of the salary of a clerical employee in each of your libraries. With our present membership this yields something under $200,000 per year. As is true of the member libraries themselves, the ARL is a labor-intensive organization, thus the lion's share of our resources goes to salaries. An additional amount pays the rent at 1527 New Hampshire Avenue and meets the other expenses of running the office. The balance is used to support membership activities, such as meetings of the Officers and Board of Directors, and the work of the Commissions, Task Forces, and Standing Committees. It is this last category of funds that provides whatever flexibility the Association has to arrange its priorities so as to emphasize those programs that are of greatest interest and value to the membership. To illustrate, at the moment a certain amount of our income goes to support the Office of Management Studies. As we learned last night, this is clearly in line with the wishes of the membership, and indeed there is general agreement that that support should be increased.

There are, however, many other worthy activities that the Association is pursuing now or could pursue in the future, and we shall be needing advice as to which of these offers the greatest potential benefits and deserves our strongest support. I am assuming that we cannot do everything we might consider useful and that choices will have to be made. A likely candidate for continued attention is our substantial effort with respect to interlibrary loan activity. Another may be in the legislative arena where we could well make common cause with the National Commission on Libraries and Information Science and other groups to bring into being new and appropriate library legislation, meanwhile working for the temporary extension of the existing support provided by the Higher Education Act and its amendments.
Suzanne Frankie has mentioned what you may have read in the ARL Newsletter, that Eugene Kennedy of NYU has accepted the chairmanship of the ARL Federal Relations Committee. Mr. Kennedy has already made a good start on this assignment, and his prior experience at the Office of Education as well as his general familiarity with the Washington scene will be great assets to him, to the Committee and to the Association. In addition to any legislative effort that may be mounted, the Federal Relations Committee will be concerned

with the ARL reaction to the NCLIS National Program and will be closely involved in determining the proper role of the ARL and its member libraries with respect to state and national plans for the White House Conference on Libraries and Information Services about which Frederick Burkhardt spoke earlier. From these few samples and from what Suzanne Frankie has told you, I think you can see that the ARL will not lack challenges in the months ahead.

Returning now to finances and to the OMS and the CCRM, both of these offices will be seeking further funding in the present year. Those of you who attended last night's meeting know something of the plans of the OMS. By means of a combination of increased support from the ARL, increased revenues from sale of products and services, and continued though somewhat reduced funding from the Council on Library Resources, the Management Office hopes to continue operation into 1978.

The CCRM, which has a most impressive record of accomplishment, has in the past been funded by the Ford Foundation, joined more recently by the National Endowment for the Humanities. Currently the Center is seeking assistance from the Mellon Foundation, and preliminary indications are favorable. With the help of the Center advisory committee, chaired by Philip McNiff, and a special committee on funding, the Center hopes and expects soon to assure its financial future for at least the next few years. In light of the current interest in contemporary studies of mainland China, it seems likely that the Chinese Center will be successful in its quest. The ARL Board at its meeting yesterday approved in principle the plans of both these groups to approach the foundations mentioned. We shall benefit if they are successful.

This is, I believe, more than enough in the way of an inaugural address. Let me only add that I look forward to the opportunity to work with each and every member. I believe that opportunity exists. If you are interested in serving the Association in a particular way, your services will be welcome. It is sometimes said that the ARL is controlled by a small group and that opportunity to participate is severely limited. The evidence is otherwise. Dozens and dozens of persons serve on our various committees and task forces; the Board has had members from libraries of every type and size representing every section of this country and Canada. The ARL has always depended heavily on its members. I trust it always will.

Finally, let me say that 1527 New Hampshire Avenue is a real place, containing real people, at least on the fourth and fifth floors where the ARL and Company reside. Please come and visit us whenever you are in Washington. And if you cannot come, write. We want to know what is on your mind. Thank you very much.

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88

Report of the President

MR. HOPP: I am happy for several reasons that we have come to the point in the business meeting when it is time for the President's Report. Fortunately, by the end of the meeting most of the substantive matters have been covered. It remains for me, then, to report primarily on those items that have been uniquely presidential responsibilities.

Without a doubt, the two most important and time-consuming responsibilities of the President this year have been first, the reconstituting of almost the entire slate of commissions, committees, task forces and representatives, and second, the appointment of a new Executive Director, a successor to Stephen McCarthy. In connection with the first, my job was time-consuming, to be sure, but not especially difficult, since I received extraordinary cooperation from all of you that I have asked to serve the ARL in one capacity or the other.

My second task was made easier by the fine work of the Search Committee made up of Page Ackerman of UCLA, Richard Boss of Tennessee, Rutherford Rogers at Yale and Basil Stuart-Stubbs at British Columbia and Warren Haas, Columbia, who served as Chairman. The task of the Committee was simplified by the fact that there just happened to be on the scene somebody who had just gone through a year and a half of baptism as to the interworkings of the ARL and knew something of what the Executive Director's position entailed, and fortunately for all of us, was persuaded to accept the appointment.

I would like to pay tribute to Dr. McCarthy for the effective leadership he has given ARL in the last several years. In particular I want to say that I am especially grateful that I had the opportunity of working with him almost the entire period of my presidency. We will be having more to say about Stephen McCarthy and his service at tonight's meeting.

Also I want to express my appreciation to Suzanne Frankie for all the fine work she has done this past year, and although John McDonald has been officially in office only a couple of weeks, his direct involvement has been since November 1, and his continuous supportive role throughout the past year foretells a continued effective ARL. Duane Webster and all of the rest of the hardworking ARL staff, some of whom you have met today, deserve our sincere thanks. Finally, I want to express my appreciation for the opportunity to serve as ARL President. As a Nebraska farm boy, I never would have dared to dream of reaching such heights, and I can assure you that it was an ennobling experience for which I am humbly grateful.

And now with my report completed, I should like to ask if there is any old business to be brought up today? If not, I am pleased to present your next President, Richard De Gennaro, Director of Libraries, University of Pennsylvania.

MR. DE GENNARO: This is a moment that Ralph Hopp has been waiting for all year. The first thing I am going to do for you as your new President is to

spare you an inaugural address. The hour is late. I think we all want to get away and get to the cocktail party in time for dinner at the meeting this evening.

I just want to take a minute, though, to say that last January about this time when I was sitting in the Board meeting on Sunday morning, it never occurred to me that I would be either nominated or conceivably be elected President. But as I looked around the table and I saw that there were so few Board members left, the old members have gone off, I began to realize there was a possibility, and so I started to try to grope for the old phrase that the reluctant presidents use, the one that says: I refuse to be nominated. I will not serve and will not campaign if drafted, etc., but by the time I could get all that out, the election was over. I was elected and I did not know what to do, but I am rather glad that I never got the chance to make that statement. In any case, I understand that it does not work. The rules of the club are that as you get elected you serve, and there is no nonsense about it.

In the last year or so, as President-elect, I have begun to appreciate that really it is an opportunity and not a chore. I have even begun to enjoy it a little. I feel a little bit perhaps like the man who jumped off the high building, and on his way down passing the 25th floor, somebody asked him how things were going, and he said, "So far, so good." So we will see how it goes starting tomorrow.

The only other official thing I would like to do is just to say thanks to Ralph Hopp on behalf of all of you, I am sure, for the splendid job that he has done all year long as your President. I also want to thank him personally for all his help and instruction and training that he has given me for this job. I am looking forward to working as your President during the year. I am going to need your help. I know I can count on it. I now declare the 85th Membership Meeting of ARL adjourned.

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APPENDIX A

REPORT OF THE COMMISSION ON THE DEVELOPMENT OF RESOURCES

The year of 1974 has been a relatively unproductive one for the Commission and this report can therefore be pleasantly short.

The new Chairman, taking over from the accomplished and effective Douglas Bryant of Harvard, made his best efforts to become informed about the problems at hand. Harrer and Ackerman met with Bryant in Cambridge in July. Many areas of difficulty were pointed out and the Commission members made plans to begin investigations of several of them. However, it seems that we were not the only ones who were concerned, for a group was convened under the auspices of the ACLS in the late spring to consider the problems of scholarly communication in general. That meeting produced a task force (which included Warren J. Haas of Columbia) to design a proposal for a study which could be presented to foundations for funding.

This development effectively blocked further effort by the Commission. The Commission has been kept informed of the progress of the task force and its many meetings during the summer and fall, and has recently learned that a text of a proposed study should be available sometime in January. At that time it will be possible to see what the thrust of that effort will be, and to revise and establish new directions for the Commission.

Page Ackerman
Basil Stuart-Stubbs
Gustave A. Harrer, Chairman

December 20, 1974

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APPENDIX B

REPORT OF THE COMMISSION ON ORGANIZATION OF RESOURCES

The responsibility area of this Commission is "to seek means of improving and extending bibliographic control of research library materials, including methods of ordering and processing these materials to ensure the greatest compatibility of form, economy of staff effort and institutional expenditures, and usefulness to readers." Somewhat over a year ago, ARL Commissions relinquished their line functions of committee prodding, to concentrate on general monitoring and evaluation of activity in their respective spheres of concern. Included are not only efforts under way within ARL, but also activities elsewhere of interest to research libraries, and the identification of actions which may need to be taken by ARL in meeting new or untended concerns.

Last January, the first report of this Commission under the new ground rules presented a careful summary and reasoned extensions of its discussions by their Chairman Stanley McElderry. The reconstituted Commission has received a few relevant communications during the year, and met on November 13 to review again the concerns suggested in the McElderry report and other matters as were felt needful. Subsequently, discussions have been held with others both in and out of the ARL structure to gain their views and perspectives.

The matter of bibliographic control, particularly through the generation of machine-readable data, continues to be perhaps the major area of concern. A year ago a large amount of activity with respect to serials had been visible in the Ad Hoc Discussion Group on Serials Data Bases. At the midwinter ARL meeting, the important announcement was made that the Council on Library Resources was to take a coordinative and partially supportive role in order to bring together in a unified program this rather diffuse effort and the interests of the national libraries, the National Serials Data Program (NSDP) and others. The CONSER Project (Conversion of Serials) has an Advisory Committee including representatives of all U.S. national libraries, the National Library of Canada (NLC), NSDP, several professional groups (including ARL) and the original Ad Hoc Discussion Group. At its first meeting on June 6, 1974, the Ohio College Library Center was selected as the conversion base, with the initial participants being LC, NLM, NAL, NSDP and NLC. Substantial problems are recognized, including variation in serials entry between and even within institutions, differing data element requirements, and a distrubing lack of standards (ISBD/S is not yet accepted and AACR is under revision). Nonetheless, a start on file building was deemed critical. Post-editing will be required, and "centers of responsibility" will authenticate various data elements. Other problems recognized include absence of a name authority file, and LC's policy of superimposition. Other participants have been chosen (Cornell, Yale, Berkeley, State Library of New York, State University of New York, and Minnesota). The Minnesota serials data base will

serve as the beginning record. National libraries provide their own funding, with the Council reimbursing OCLC and furnishing terminals and lines to other participants. The project is certainly a very major and significant effort which ARL must encourage and, through member participants and the Advisory Committee representation, provide research library involvement. Contractual arrangements are being finalized at this time of writing.

With respect to monographic bibliographic data, the Council on Library Resources has also provided key assistance in bringing together a discussion group representing the interests of the national libraries and the major research libraries. A fundamental need has been a return to basic, definitive requirements and the rational consideration of how these needs may be met, in an area of exceedingly complex parameters, involving computer technology, bibliographic principles, institutional capabilities, proprietary interests, private sector undertakings, standardization and a host of thorny topics. The discussion group has, indeed, evolved a set of recommendations which have received general preliminary acceptance by the Library of Congress. These pertain to the exchange of MARC-like bibliographic information with a minimum level of added coding, to make available the unique potential contributions of certain selected libraries. Such information could be acceptably included in the MARC distribution service. Further review and input is now being provided by the MARBI Committee (Machine Readable Bibliographic Information), which has a loose affiliation with the Resources and Technical Services Division of ALA. Again, major participants are ARL members, whose work warrants monitoring by this Commission on behalf of and for the general information of the Association.

It has been noted that, in the past, the Commission's attention and ARL committee efforts have dealt largely with those aspects of "resource organization" concerned with bibliographic control and very little with the acquisition process. (A partial exception has, of course, existed in our support and monitoring of the NPAC effort.) Last year's report suggested the possibility of increasing concern with blanket ordering and approval plans, as procedures for maintenance of library collections. The recent bankruptcy of a principal originator and supplier of such services may highlight the inherent vulnerability of such dependence on external facilities for judgement and selection, particularly the susceptibility to disparate economic factors. The basic advantages and disadvantages of these "automatic" plans are well known and have been reviewed in a number of seminars and meetings both domestic and international. A principal current concern lies in the fact that such plans generally require broad coverage to be effective and efficient. Such coverage entails ample funding - a condition of increasing rarity as library support is tightened, prices follow inflationary trends, and serials absorb greater portions of acquisitions budgets. However, discussion with various technical services directors and with RTSD staff seem to indicate that the problem is one which must be met at the individual institutional level, at least for the time being. Profiles are shifting and vary widely between institutions, dealer competence is tested only by experience, fund availability is wholly uncertain. Thus it is unlikely that ARL can devise any optimum patterns or criteria for general application; each institution must (and should) give careful consideration to its own predicament. The plans are still a workable

alternative and, in fact, will be discussed among other topics at an RTSD program next summer on book selection tools and procedures.

In another aspect of acquisition problems, the Commission noted the continuing (even perennial?) efforts of the Government Printing Office to improve its services. Of some concern are two areas of particular importance to libraries. The first pertains to depository library status and privileges, matters which are susceptible to congressional review and alteration. The second has specific reference to GPO consideration of using microforms as a distributive medium. In itself, this may have obvious impact on libraries. But of great concern is the role which the information industry is gaining for itself in advising and influencing the federal decision-making process. An Advisory Committee of Librarians has been working with GPO; inquiry to the Superintendent of Documents as to research library representation and possible assistance remains unanswered at this writing. Monitoring of developments by the ARL office appears highly desirable, in its usual knowledgeable fashion.

Within the ARL structure, the Standing Committee on the National Program for Acquisitions and Cataloging has been in close touch with the Library of Congress, as the Committee's report will show. There appears to have been little movement toward coverage of additional countries since the addition of China. LC is hoping to determine what American publications libraries are having to catalog themselves. Similar information is being sought by the Committee as to excluded categories of publications from NPAC countries (e.g., dissertations, technical reports) and all publications from non-NPAC countries. A significant Committee effort is the determination of what dollar savings accrue to ARL libraries through the NPAC program. Much data and support of this type is needed by LC; Committee Chairman Wagman provided a strong visible rejoinder this Fall to poorly based and misapplied criticism of NPAC appearing in the professional press. Our continuing mission must be to press for further growth of the program, for its efficient and effective implementation, and for ongoing monitoring of the results, to the best interests of both research libraries and the Library of Congress.

The Association's one Task Force in the realm of organization deals with the topic of "catalog closing." Substantial exchanges of views have been entered into with the Library of Congress, and our midwinter program will devote a full time segment on this topic, both to inform and to solicit reaction from the membership.

Of the seven recommendations in last year's report, the Commission feels that four are being successfully met. A fifth is deemed a local responsibility (blanket order plans). Still of uncertain status are the discussions relating to national centers of excellence in selected fields and national resource centers, such as for periodicals. While an interesting meeting with British Lending Division management took place following IFLA, our own directions are still seeking a compass. Doubtless we must seek answers in the hazy territory of the economics of information transfer, hoping for the best for the current Indiana survey but suspecting that an even larger scale investigation will be required.

Finally, the Commission believes that the whole concept of "resource planning" requires detailed and integrated study by the Association. The "National Program of Library and Information Services" comments strongly (if rather superficially) on this matter, to the effect that libraries have grown individually and randomly with little or no consideration of the whole resource pattern and that wasteful expense has been incurred in duplicative acquisitions and processing. Strong measures are suggested to rationalize the total national resource within the suggested framework of local, state, regional and national responsibilities. As the final draft on the Program becomes available in 1975, with the appended "papers of amplification," ARL must come firmly to grips with its recommendations, of which resource planning is especially relevant to this Commission. An assignment may well be in order to each Commission for a detailed analysis and response in its assigned areas (and possibly a joint meeting of Commission Chairmen), to bring together our best thinking in some detail.

John P. McGowan
Joseph H. Treyz, Jr.
William S. Budington, Chairman

December, 1974

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APPENDIX C

REPORT OF THE COMMISSION ON ACCESS TO RESOURCES

The Commission on Access to Resources has two new members this year, John Berthel and Richard Boss, who were appointed late in the Spring. The full Commission has held two meetings: in New York July 10, 1974, and in Washington, D. C. November 20, 1974.

The Commission took note of the reorganization of the Commission structure, the relationship of committees to commissions. A letter was written to David Weber expressing the Commission's continuing interest in interlibrary loan matters and requesting it be informed of any new developments. David Weber assured the Commission that those activities of the ILL Committee which might be of interest to the Commission would be reported to it.

The majority of the Commission's energies has been directed at defining problems of access and to determining which problem required first consideration. Measuring the degree to which a library is successful in meeting the needs of the user emerged as the central issue. The Commission agreed that present methods of measurement: size of collection or circulation statistics, for example, do not give the "success rate". Such measures as interlibrary loans requested/filled may be a slightly better indicator. It recognized that presently the data collected is used primarily to defend budget requests. It also noted the present emphasis on program budgeting and accountability. Some additional standardized methods of evaluating services are believed needed.

Knowledge of the user's success rate in obtaining the information/material he needs is necessary for planning better service. It was agreed, however, that there is no formal uniform method of determining if the user obtained the material best suited to his needs; generally there is no way to measure the quality of information and the use to which it is put.

It is the Commission's opinion, however, that methods for determining the success rate for <u>access</u> can be established.

Some of the items listed to be measured under "success rate" are:

What percent of the time does the user approach the collection through the catalog and find:

a) Library owns item
b) Item is available for use
c) Catalog is not useful to him
d) If not available for use, is ILL instituted?
e) Delivery of material to user in time (what is the wait time?)
f) How has the voluntary cooperation of ILL and/or inter-institutional consortia and networks really worked as compared to success rates in subsidized systems"

The Commission believes that the changes apparent in higher education are reflected in research library operations and objectives and that a need exists to investigate these changes so as to better understand them. There is general agreement that 90-95 percent of use should be met within the local institution, the remaining 5-10 percent must pull from outside resources. Some studies[1] suggest that presently 50 percent of user needs are being satisfied.

A measure of the quality of a research library cannot be the size of its collection or the size of its collection relative to its enrollment, programs, or geographic spread; rather quality should be based upon the library's success rate in delivering the information the patron seeks. If user success is the principal objective, emphasis may be shifted to reallocating resources to: (1) insure appropriate duplication, (2) increase expenditure for network participation, (3) cover costs of ILL.

Is there a trade off in shifting emphasis from collecting to meeting 99 percent of needs in-house, to collecting to meet a lower percentage of need from within and the remainder from regional/national resources with costs covered by the library?

Commission agreed upon the following basic tenets:

> A library's patron (patron status is defined by the institution) should be entitled to expect that the library will assume responsibility for providing access to the information needed irrespective of the location in which it is housed.
>
> A library should not provide service to the patrons of another at the expense of its own.
>
> A patron should not be expected to be penalized by having to pay for materials not found in his own library.
>
> The same funding resource used to provide service internally should be expected to assume costs of services from another institution.

Rather than reducing the quality of library services, observance of these principles should provide impetus for more appropriate allocations of resources and for rationalizing the levels of collection development among institutions.

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[1]Ernest De Prospo and others. "Research on Library Performance." In Performance Measure for Public Libraries. Chicago, ALA, 1973. pp. 7-15.

Greater quantities of interlibrary lending should result when no institution is required to provide loans at its expense.

No patron should be reluctant to request needed information beyond his home library.

The result of such policy changes and evaluative criteria will go far to provide a freer flow of information and a better quality of service both internally and among libraries.

Commission agreed that no one institution could muster the staff to investigate new evaluative measures; that a subcommittee working alone or with aid from ARL Office of Management could; that comparability/standardization of method is necessary; that ARL ought to move forthrightly in promoting evaluative service critera.

The Commission agreed it has two objectives: first, to provide methodology to measure library service quality, and second, to study methods of improving the quality of services through improved access.

Members of the Commission have discussed the need of developing a methodology capable of establishing measurements of performance of research libraries. Research libraries of publicly supported institutions have been asked to "justify" resources expended.

The Commission at its last meeting discussed with Jeffrey Gardner and Suzanne Frankie a suggestion that OMS consider a study of a methodology for measuring patron success. More information may be forthcoming as a result of the Commission on Management's meetings.

The Commission on Access would appreciate from the Board an expression of its agreement to the direction the Commission has taken.

The Commission seeks also comments and suggestions from members of the Associaton. Below is a list of potential "Obstacles to Access" the Commission has identified.

It requests additions:

- All material not cataloged
- Cataloging backlog
- Filing backlog
- Complexity of library (lack of assistance and graphics)
- Misleading location information
- Temporary removal of cards from card catalog
- Decentralization of collection
- Condition of stacks
- Slow reshelving
- Search service

- Staff attitude (maximizing success of patron)
- Nature of turnstiles and ID cards
- Bindery schedules

Finally other topics which have been suggested for consideration by the Commission are listed although little consideration has been accorded these to date.

Tools needed to improve availability of existing material: union lists, bibliographies of special collections, directory of commercial data banks.

John Berthel
Richard Boss
Virginia Whitney, Chairman

December 12, 1974

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APPENDIX D

REPORT OF THE COMMISSION ON MANAGEMENT OF RESEARCH LIBRARIES

The primary purpose of the report of the Commission on Management of Research Libraries for 1974 is to assess what ARL has accomplished in the management field over the past several years and to identify activities which may be appropriate for the future.

The commission form of organization was adopted by ARL in 1971. The hope was to "provide a flexible and effective means of surveying continually all the major problems of research libraries." Initially the committees were under the supervision of the commissions, but in 1974 the committees were reviewed and only those with a continuing responsibility were retained. Since the committees now report directly to the Executive Director, the commissions are afforded more freedom to study problems and to make recommendations for action by the ARL Board.

The Management Commission is in the unique position of serving as an advisory committee to the Office of Management Studies in addition to its broader commission responsibility. This has been a pivotal year because a decision is required early in 1975 about continued support of the OMS. Accordingly, the Commission was occupied much of the year with questions concerning the continued existence of OMS.

In addition, the Commission was asked by the Board to look at the problems of academic library statistics and at issues related to collective management.

The Commission discussed at some length ways to standardize the reporting of statistics, to make the data more comparable, and to augment the information currently available. It was recognized that library statistics are largely descriptive and do not provide analytical information to assist in performance evaluation. A number of methods were suggested to clarify the meaning of current ARL statistics. Since other organizations, particularly the National Center for Educational Statistics (NCES), are evaluating library statistics, it did not seem appropriate to introduce new data elements at this time. It was also recognized that the purpose or utility of statistics would need to be clarified before new approaches could be devised or tested.

Collective management was discussed at each of the several meetings of the Commission but there did not appear to be an organizational question which required immediate consideration of this issue.

In its year-long preoccupation with OMS, the Commission reviewed the history and accomplishments of the Office, re-examined the needs that justify

a program of this kind, and studied possible new sources for funding. The Office of Management Studies has had a longer life than the Management Commission and grew out of the Booz, Allen & Hamilton project at the Columbia University Library. Its role was to stimulate innovation and improvement in management by research, communication, instruction, and consulting. Much of its initial effort was devoted to the development of a self-study program for assessing management practices in specific libraries (now known as MRAP--Management Review and Analysis Program). After a period of trial and revision the program was extended to other libraries. A number of by-products began to emerge as the OMS attempted to identify and document various management issues. ARL management supplements, occasional papers, SPEC Flyers and SPEC Kits are some of the products which have resulted from this effort.

The Office of Management Studies has been in existence long enough to indicate the kinds of activities that are possible and to enable libraries to assess their utility. There are a number of observations which can be made concerning the program:

1 - The pressures which led initially to interest in improving management practices and better resource utilization have become more acute as financial stringencies have increased.

2 - An effective program of management improvement requires a considerable investment of resources over an extended period of time.

a - Management is a dynamic process that has unique characteristics in each institution as well as some common elements.

b - The literature on current principles and practices is voluminous and growing rapidly.

c - Training is time-consuming and frequently indirect; an awareness stage is prerequisite to training and training must be adapted to the clientele.

3 - Neither academic institutions nor their libraries have invested significant time or money in improving management practices.

4 - Management training costs are likely to be significant and difficult to support on a full cost recovery basis (i.e., some subsidy seems mandatory).

5 - ARL must make a stronger commitment if OMS is to continue the ambitious projects it has begun.

The Management Commission explored several avenues for continued funding of OMS. Several projects were identified for outside subsidy: (1) continuation of MRAP program with a declining level of outside subsidy; (2) expansion of the SPEC program to a higher level of self-support; (3) expansion of training activities; and (4) development of project proposals for separate outside funding (e.g., services development program, survey of collective agencies, management training packages). Alternative approaches to funding would include a higher level of support from ARL, attempting to price products at higher levels, and selling services to libraries and interested groups at realistic costs. It was further noted that OMS has essentially pitched its efforts to institutions rather than individuals and that a program directed to developing the specific skills of the latter group might have a better opportunity to become self-supporting.

It is clear that 1975 will be crucial to the future direction of OMS. ARL must decide how useful the present program has been, and whether and at what level the program should be continued. It is the conclusion of the Commission on Management that the needs and problems addressed by the OMS are serious and continuing; that OMS has done useful and productive work on these problems; that it has proved to be both effective and economical to have an agency such as OMS working for all ARL libraries on these common problems; that it is proper for OMS to engage in programs which produce income, but not if such programs have only marginal utility for ARL; and that, in brief, it is highly desirable that OMS be continued and that ARL actively seek funds for its support.

The Commission has also identified a number of other areas for future exploration. These include:

1) University library standards
2) Improved library statistics
3) Library governance
4) Collective management (e.g., structure of networks)
5) Library education
6) Assessment of existing staff development programs.

A number of the topics indicated above are being explored by OMS through SPEC or program proposals formulated for outside funding. The desirability of creating task forces to deal with some of these issues will emerge as decisions under consideration have been made.

Richard De Gennaro
Warren J. Haas
Stanley McElderry, Chairman

December 13, 1974

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APPENDIX E

REPORT OF THE COMMISSION ON EXTERNAL AFFAIRS

The Commission on External Affairs has no activities to report for the past year. Its general disarray results from a variety of circumstances -- the Chairman's illness during the first part of the year, the drafting of our most experienced member to greater responsibilities as the ARL's Executive Director, and the Chairman's inability to determine just what the functions of the Commission are.

In lieu of a report, I offer a few reflections on this last problem. The Commission was set up to deal with relations with outside bodies. The difficulty is that these relations normally have to do with specific issues, such as copyright or federal legislation, and are normally dealt with by substantive commissions or committees or by the Board itself. Since the conducting of negotiations with foreign powers in the absence of anything particular to negotiate is a feckless business, a standby role seems to be about all that is left for the Commission on External Affairs. It can respond when called upon, but it can initiate action only with difficulty.

All of this was discussed in more detail by John McDonald in his report for the Commission presented to the Board at its January 17, 1974 meeting. He concluded:

"In the end, however, the value and effectiveness of the Commission on External Affairs will be determined by the plans and programs devised by other commissions and committees, accorded a high priority by the ARL Board, and given strong support by the membership. With such programs in hand and with a reasonable investment of energy, enthusiasm, and imagination, the Commission on External Affairs should be able to win greater understanding and support for the purposes of the Association."

John McDonald
Lucien White
William S. Dix, Chairman

December 9, 1974

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APPENDIX F

REPORT OF THE ARL/ACRL TASK FORCE ON UNIVERSITY LIBRARY STANDARDS

Interest in and the need for university library standards have long been evident. Equally apparent have been the obstacles in the way of developing a set of criteria acceptable to professional university librarians. Among the difficulties are the lack of agreement on the definition of a university, skepticism among librarians as to the desirability of setting up formal standards, and the question of whether standards should be primarily quantitative or qualitative.

A solution to the first dilemma--what is a university?--appears to have been provided by the recently published classification of the Carnegie Commission on Higher Education, based on several years' research. A total of 18 categories of institutions of higher education are defined in the Commission's classification. For the purposes of the ARL/ACRL Joint Committee on University Library Standards, it is proposed to restrict a code of standards to the first four categories, all doctoral-granting institutions, described as follows:

1. Doctoral-granting institutions, with heavy emphasis on research.

   These are the 50 leading institutions in terms of federal financial support of academic science in at least two of the past three years, provided they awarded at least 50 Ph.D.'s (plus M.D.'s if a medical school was on the same campus) in the last year.

2. Doctoral-granting institutions with moderate emphasis on research.

   These institutions were on the list of 100 leading institutions in terms of federal financial support in at least two out of three of the above three years and awarded at least 50 Ph.D.'s (Plus M.D.'s if a medical school was on the same campus) in the last year.

3. Doctoral-granting institution with moderate emphasis on doctoral programs.

   These institutions awarded 40 or more Ph.D.'s in the last year (plus M.D.'s if a medical school was on the same campus) or received at least $4 million in total federal financial support in the last year.

4. Limited emphasis on doctoral programs.

   These institutions awarded at least 10 Ph.D.'s in the last year, with the exception of a few new doctoral-granting institutions which may be expected to increase the number of Ph.D.'s awarded within a few years.

A further limitation is proposed. A "university" for the purposes of the recommended standards will offer doctoral programs in not less than three of the four major areas adopted by the American Council on Education for classifying doctoral degrees: humanities, biological sciences, physical sciences, and social sciences. Further, in groups one and two above, doctoral programs will be offered in not less than 20 of the 30 areas, and in groups three and four, not less than 15 areas as defined by the National Research Council:

Areas of Graduate Study[1]

Mathematics
Physics and Astronomy
Chemistry
Earth Sciences
Engineering
Agriculture and Forestry
Health Sciences
Biochemistry, Biophysics, Physiology and Biostatistics
Anatomy, Cytology, Entomology, Genetics, Microbiology, Embryology
Botany, Zoology, General Biology
Psychology
Anthropology and Archeology
Sociology
Economics and Econometrics
Political Science and International Relations
History
English and American Language and Literature
Modern Foreign Language and Literature
Classical Language and Literature
Philosophy
Speech and Dramatic Arts
Fine Arts and Music
Business Administration
Home Economics
Journalism
Law, Jurisprudence
Library and Archival Science
Architecture
Education
Other Professional Fields (Count as one field of study)

Another reason for the suggested cutoff point is that collegiate institutions below the above four categories are within the province of the ACRL's Ad Hoc Committee to Revise the 1959 Standards for College Libraries, now actively at work.

Concerning the second roadblock to the adoption of a statement of university library standards--the resistance and even downright opposition to any formally stated criteria--the following points seem relevant: (1) Standards exist for college, junior college, school, public, professional, and other types of libraries; why should university libraries be an exception? (2) Failure by university librarians to participate in the preparation and adoption of standards is resulting in the task being taken out of their hands by budgeting, appropriating, and governing bodies--such as state boards of higher education, state departments of education, and regional accrediting associations--which make their own standards, usually unsatisfactory in nature to librarians. (3) University librarians, especially in newly developing institutions, need basic criteria and guidelines to follow as goals, in-

[1]Source: National Academy of Sciences. National Research Council. Doctorate Recipients from United States Universities, 1958-1966. Washington: National Academy of Sciences, 1967, pp. 5-11.

ternally, for planning growth, for dealing with university administrators, etc. (4) All standards should be stated as minimal to avoid the criticism that standards level down instead of upgrading.

The matter of choosing between quantitative and qualitative standards is complete. Ideally, perhaps, qualitative criteria are preferable. Measuring quality, however, is far more difficult than measuring quantity, involving, for example, detailed checking of standard bibliographies, judgements by subject experts, comparisons with similar collections elsewhere, analyzing in detail the content of collections, and, not infrequently, simply using subjective opinions. Often, so-called qualitative standards turn out to be rhetorical exercises, largely meaningless in applications to practical situations. Furthermore, as Clapp and Jordan stated, "When standardizing authorities omit or refuse to set standards in quantitative terms, the budgeting and appropriating authorities, who cannot avoid quantitative bases for their decisions, are compelled to adopt measures which, though perhaps having the virtue of simplicity, may be essentially irrelevant"--another argument for librarians to develop relevant measures.

For the foregoing reasons, the standards for university libraries proposed for adoption by the ARL and the ACRL are stated concretely. To make the recommended criteria even more specific and down-to-earth, the proposed standards are based primarily upon the best current practices as reported by leading American university libraries in University Library Statistics (ARL, 1969), supplemented by such sources as Clapp-Jordan's "Quantitative Criteria for Adequacy of Academic Library Collections," Metcalf's Planning Academic and Research Library Buildings, the Washington State Model Budget Analysis System for Libraries, and the ARL's annual Academic Library Statistics.

An important factor, affecting both quality and quantity, is location, though its impact may be difficult to determine. A university placed in the center of major library resources may be able to rely extensively upon the holdings of other institutions, while a university remote from large libraries will have to depend mainly on its own resources. An example of the first situation is the ambitious cooperative program recently announced by Columbia, Harvard, Yale, and the New York Public Library. Examples of isolated institutions are numerous, e.g., University of Colorado, University of Illinois, and University of Texas. In any case, cooperation has limitations. Every great research library must maintain a large degree of independence. A university library that leans too heavily on its neighbors is unlikely to provide satisfactory service to its students and faculty.

The basic areas in which the Joint Committee is proposing adoption of standards are as follows: resources, personnel, space, finances, public service, and administration.

I. Resources. At least ten criteria may be used in measuring a library's resources: (1) total volume holdings, (2) total volume holdings in relation to student enrollment, (3) volume holdings in relation to graduate student enrollment, (4) volume holdings in relation to number of faculty members, (5) volume holdings in relation to major subject fields for undergraduates,

(6) volume holdings in relation to fields of concentration at the masters level, (7) volume holdings in relation to fields of graduate concentration at the doctoral level, (8) number of volumes added annually--average of last five years, (9) number of current periodical subscriptions, (10) number of current serial subscriptions. It would also be practicable to look at volumes added in relation to total holdings. For certain fields requiring currency of information, a volumes-added figure may be more significant than volumes held--a factor which tends to measure retrospective strength.

A majority of these criteria was adopted by Clapp-Jordan and in somewhat modified form by Washington State's Model Budget Analysis System, in measuring library holdings. The general formula developed by Clapp-Jordan has been widely applied for nearly a decade and for the most part has demonstrated its validity as a practical device for testing the strength of a library's collections. With certain simplifications and modifications, as specified below, therefore, the basic formula is recommended as the ARL/ACRL standards:

1.	Basic collection (undergraduate level)	85,000 volumes
	(Clapp-Jordan: 50,750 volumes)	
2.	Allowance per F.T.E. faculty member	100 volumes
3.	Allowance per F.T.E. student	15 volumes
	(Clapp-Jordan: 12 volumes)	
4.	Allowance per field of undergraduate concentration	350 volumes
	(Clapp-Jordan: 335 volumes)	
5.	Allowance per master's field, when no doctorate offered in field	6,000 volumes
	(Clapp-Jordan: 3,050 volumes)	
6.	Allowance per master's field, when doctorate is offered in field	3,000 volumes
7.	Allowance per doctoral field[1]	24,500 volumes

A standard for total holdings would also be reasonable. In Academic Library Statistics for 1973-74 the median number of volumes held was 1,553,192 for the 82 ARL members. A median of 1,500,000 volumes is recommended for university libraries in groups one and two; 1,000,000 volumes in group three; and 750,000 in group four. If cataloged, or otherwise processed for use, government publications should be included in the volume count.

Rate of Increase

A deficiency in the Clapp-Jordan formula is lack of provision for growth of the collection. It is a truism that constant growth is essential to keep a library alive. This factor is recognized in the Washington standard, with a provision stating that "A minimum number of acquisitions per year shall be

[1]See footnote on page 104.

established equal to five percent of the estimated number of units [volumes] of library resources held at the start of each fiscal year." The five percent figure is intended to serve as a "floor factor" and "would come into effect when 100 percent of formula was reached and the institution's growth in enrollment or programs would allow for an increase of less than the five percent."

The experience of our largest university libraries indicates that the five percent figure may be unrealistic when collections exceed a certain size. For example, in 1973-74, Harvard University Libraries, with 9,028,385 volumes, added 297,283 volumes (gross). The five percent formula would have called for the addition of 451,420 volumes. Similarly, Yale, with 6,350,824 volumes, should have added 317,541 volumes; actual additions were 190,750 volumes (gross). For the largest libraries, an alternative would be to adopt the Washington State formula on rate of growth and after 100 percent of the formula has been reached, continue to add five percent annually to the target size.

The net number of volumes added among the 82 libraries included in Academic Library Statistics ranged from 198,724 to 28,733, or gross figures from 297,283 to 32,132 volumes. The median for the 82 institutions was 78,671 volumes gross and 71,525 volumes net. It is proposed that the minimum standard be set at 100,000 volumes annually for the first two categories of the Carnegie Commission's classification, and 50,000 volumes for categories three and four.

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[1]For standardization purposes, the fields defined in the American Council on Education's statistical compilation of earned doctorates can serve. They are as follows:

Humanities	Biological Sciences	Physical Sciences	Social Sciences
Architecture	Argiculture	Astronomy	Anthropology
Classical Languages	Anatomy	Chemistry	Business and Commerce
English	Bacteriology	Engineering, Aeronautical	Economics
Fine Arts	Biochemistry	Engineering, Chemical	Education
French	Biology	Engineering, Civil	History
German	Botany	Engineering, Electrical	International Relations
Journalism	Entomology	Engineering, Mechanical	Law
Music	Forestry	Engineering, Other	Library Science
Philosophy	Home Economics	Geography	Political Science
Religious Education and Bible	Nursing	Geology	Public Administration
Russian	Pharmacy	Mathematics	Social Work
Spanish	Physiology	Metallurgy	Sociology
Speech and Dramatic Arts	Psychology	Meteorology	Social Sciences, Other
Theology	Public Health	Physics	
Foreign Languages, Other	Veterinary Medicine	Physical Sciences, Other	
	Zoology		
	Biological Sciences, Other		

Periodicals

In actual application, the Clapp-Jordan formula for current periodicals has been found low, producing figures substantially under the holdings of strong libraries. A more realistic formula is proposed herewith for periodical titles:

1.	Undergraduate collection	500
	(Clapp-Jordan: 250)	
2.	Per F.T.E. faculty number.	2
	(Clapp-Jordan: 1)	
3.	Per field of undergraduate concentration	6
	(Clapp-Jordan: 3)	
4.	Per field of graduate concentration--master's. .	20
	(Clapp-Jordan: 10)	
5.	Per field of graduate concentration--doctoral. .	200
	(Clapp-Jordan: 100)	

Among the university libraries included in Academic Library Statistics for 1973-74, the number of current periodicals received ranged from a low of 7,631 to a high of 100,000--the latter figure is suspect because it probably did not differentiate between periodicals and serials. The median was 19,343. As a standard, 20,000 titles are recommended as a minimum total for institutions in categories one and two and 10,000 in groups three and four.

Also calling for standardization is usage of the terms "periodical" and "serial." In some university libraries, the two are not differentiated; instead, all are reported as "periodicals," producing grossly distorted figures. Serial publications in a university library collection may outnumber periodicals by more than two to one. An acceptable definition is offered by the U.S. Office of Education's National Center for Educational Statistics, as follows:

> A periodical is a publication that is issued in parts which usually contains articles by several contributors. It generally has a distinctive title and the successive numbers of parts are intended to appear at stated intervals and usually for an indefinite period. Serials include periodicals, newspapers, annual reports, yearbooks, memoirs, proceedings, transactions of societies, and may include monographic and publishers' series.

An alternative is the definition of periodicals used in LIBGIS' "Library General Information Survey," and adopted for the ARL's annual summary, Academic Library Statistics:

> A periodical is a publication constituting one issue in a continuous series under the same title published at regular or irregular intervals, over an indefinite period, individual issues in the series being numbered consecutively or each issue being dated. Newspapers as well as publications appearing annually or less frequently are included in the definition.

It should be noted that this definition does not differentiate between periodicals and serials, and for that reason the first definition is preferable.

Microforms.

Several formulas for measuring the size of collections attempt to include microforms in the volume count. The problem is of great complexity because of the varied nature of microforms: microfilm rolls, microfiche, microcards, microprint, ultramicrofiche, etc. Clapp-Jordan propose that "fully-cataloged material in microform will be measured in volumes as though it were in original form." The Washington State formula states that "one reel of microfilm or eight microcards or microfiche" should be counted as a volume. The U.S. Office of Education's Library Statistics of Colleges and Universities uses another method of counting microforms: one reel of microfilm is equal to a unit [volume] of library resources; for all other microtext material, five pieces equal one volume. Even more complicated is a plan proposed by the New York State Education Department's Advisory Committee on Planning for the Academic Libraries of New York. In the Committee's "Guidelines for Assessing the Adequacy of Academic Libraries of New York State" (1973), microforms are counted as volumes, using this formula for counting a unit or volume of library resources: one reel of microfilm, eight microcards, eight sheets of microfiche, four sheets of microprint, and one-seventh sheet of ultrafiche.

It is all too obvious that these various schemes add up to total confusion, leading libraries into a dense thicket from which there is no escape, resulting in astronomical figures which make comparisons between individual libraries impossible. Adoption of such plans is apparently a consequence of the pressure on newer libraries to acquire large numbers of "volumes" quickly.

The Annual Report of the Library of Congress has continued to separate various categories of material in its statistical analysis of holdings. Three types of microforms are recognized in the breakdown: micro-opaques, microfiche, and microfilm (reels and strips). This topic was debated at some length in the ARL meeting in Washington, D.C., on January 6, 1969. (See: ARL Minutes of the Seventy-Third Meeting, pp. 35, 53-56). At the conclusion of the discussion, the ARL membership voted approval for continuing to count microforms as a separate category.

It is proposed, accordingly, that the 1969 action of the Association of Research Libraries be reaffirmed, and that the annual Academic Library Statistics continue to include analyses of microform holdings under four categories; reels of microfilm, number of microcards, number of microprint sheets, and number of microfiches.

II. Personnel. Personnel standards may involve such factors as (1) Ratio of professional to nonprofessional staff; (2) Size of staff in relation to student enrollment; (3) Size of technical staff in relation to acquisition rate or to growth of collections; (4) Length of work week and work year;

(5) Status of professional librarians; and (6) The influence of centralizational and decentralization on size of staff.

Professional-Nonprofessional Ratio.

Research studies have demonstrated that two-thirds or more of the work in an academic library can be done successfully and economically by nonprofessional personnel, including student assistants. That appears to be the prevailing distribution among American university libraries at present, though ratios as high as four or five clericals to one professional have been proposed. The compilation of Academic Library Statistics for 1972-73 for ARL members revealed that the percentage of professional librarians ranged from 21.9 to 48.6 with an average of 33.3 and a median of 32.6. As a university library standard it is recommended that the professional staff should not exceed one-third of the total staff. (In Canada, the current range is from 16.5 to 29.6, with an average of 21.4 per cent).

A further refinement is proposed, that is, the creation of two groups of staff members aside from the professional librarians. In addition to the professional and clerical categories there should be a "professional specialist" staff, composed of systems analysts, planning officers, photoreproduction specialists, information scientists, business managers, and other specialized technical personnel, who do not require graduate library school education, but whose training has been at a high level in another area.

Following the recommendations of Asheim's manpower study for the American Library Association, which defines five levels of library personnel, it is suggested that the clerical staff be divided into two categories: (1) technical assistants, who perform "simple, routine tasks and special skills tasks" for which technical-assistant courses and postsecondary training in special skills may be required; and (2) library clerks who are assigned typing, filing, and operation of business machines, for which business school or commercial training will constitute proper preparation.

Staff in Relation to Enrollment.

In the Washington State standards, elaborate formulas have been developed for determining the number of staff required for public services and for technical processes. The public service standard is derived from the number of F.T.E. students at various levels: underclassmen, upperclassmen, masters candidates, doctoral candidates, and registered outside users. The size of the technical processes staff is obtained by this formula: "Add the number of units of library resources estimated to be added in the year to which the calculation applies, to the total units held at the beginning of that year plus the number of units estimated to be deleted." A rather complete mathematical formula is then applied to the "weighted units to be processed" to gain a total F.T.E. technical processes staff. A similar scheme was devised by the University of California library system to establish staffing needs for public services and technical processes. Similar formulas are being developed for the SUNY libraries in New York and the Nebraska state colleges. Following

is the Washington State scheme:

1. Public Services (Including a pro rata share of library administration)
   Using the revised definition of F.T.E. students, weight

100/200	level F.T.E. students	at 1.00
300/400	level F.T.E. students	at 1.80
500	level F.T.E. students	at 4.30
600/700	level F.T.E. students	at 6.00
Registered outside users		at 1.00

   Determine the total weighted enrollment and divide by a factor of 220 to derive F.T.E. Formula Public Services Staff.

2. Technical Processes Staff (Including a pro rata share of library administration)

   Add the number of units of library resources estimated to be added in the year to which the calculation applies, to the total units held at the beginning of that year plus the number of units estimated to be deleted. Multiply that figure by the units to be added and deleted and divide by 1,000,000 to derive "Weighted Units to be Processed." Multiply the Weighted Units to be Processed by the following factors and add the following constants:

1 to 14,999 WUP	Multiply by .01514	and add 67
15,000 to 41,999 WUP	Multiply by .00664	and add 194
42,000 to 300,000 WUP	Multiply by .00360	and add 322

   Divide the Weighted Units to be Processed by the factor resulting from the above calculation to derive F.T.E. Formula Technical Processes Staff.

3. All staffing comparisons are to be made in terms of the total F.T.E. staff generated by the above formulas.

   As was indicated, the University of California System approach to budgeting for library staff was selected to serve as the basis for this portion of the analysis system after review and discussion with Washington librarians. This approach, which has been in use since 1964, takes into account the prime variables affecting staffing. In technical processes, the approach assumes that it becomes progressively more difficult to process materials as the size of the collection increases. It also assumes that this is partially offset by economies of scale which occur as the size increases. In public services, the assumption is made that demand on library resources increases as the level of the student's program increases. Since the University of California includes institutions of varying size which are both smaller than and as large as the Washington institutions, it was determined that their experience, if applicable, could serve as a guideline for the analysis system.

According to University Library Statistics, among the 50 libraries surveyed, the ratio of professional staff members to enrollment varied from one to 41.64 to one to 675.72, with a median of 225.24. These figures included both public service and technical processes personnel. For total staff, professional and clerical, the median figure was one to 89. The median figures for professional staff exceeds the one-third maximum previously recommended. Using enrollment as a basis, it is recommended that a standard be set of one library staff member to each 90 students and one professional librarian to each 275 students.

Application of the one to 90 ratio should be flexible, for preliminary studies indicate that it would be insufficient with large number of branches; i.e., the size of staff would be influenced by institutional policies relating to centralization and decentralization of library services. Another factor affecting staff size is the library's rate of growth, which may require more or fewer staff members in technical services.

Work Schedules

A table in University Library Statistics (pp. 72-74) shows that in the 50 institutions reporting the weekly work schedule for the professional staff varied from 35 to 40 hours, with an average of 38.44. Whether this is a proper sphere for standardization may be debatable. Schedules may be necessary as a component of good management, but they should be matters for local decisions. Experiments in progress in a number of institutions provide flexible arrangements for professional staff members in harmony with improved status, a trend which should be encouraged. Rigid work schedules are incompatible with the librarian's research and scholarly activities. Administrators and staff members dedicated to individual research, association activities, writing, and special projects may carry work schedules considerably in excess of the norm.

Staff Perquisites.

A vacation allowance of one month or 31 days should be the minimum for all full-time professional staff members on 12-month appointments. Sabbaticals for research projects, study leaves, hospital and health insurance, tenure, and retirement benefits should be identical to those for which the teaching faculty is eligible. Termination of contracts for professional staff members should be handled in accord with the AAUP's 1940 "Statement of Principles."

Status of Library Staff.

After prolonged consideration, a Membership Meeting of the Association of College and Research Libraries adopted in 1971 a statement of "Standards for Faculty Status for College and University Librarians." ... Subsequently, a committee of the ACRL, the Association of American Colleges and the AAUP drafted a Statement on Faculty Status of College and University Librarians." The

statement has been endorsed by the ACRL, AAUP, and 32 library organizations. The ARL Board voted to "endorse in principle faculty status for professional librarians, and commend to the attention of all college and university administrations the 'Joint Statement on Faculty Status of College and University Librarians.'" In the belief that general adoption of these concepts will upgrade the library profession, help avoid a drift toward dangerous unionization of library staffs, and minimize or reduce the troublesome divisiveness becoming prevalent in many institutions, the Joint Committee recommends endorsement of the principles of the ACRL statement as an important element in its general code of standards. Wherever possible library staff practices should relate to the university's general practices. Individual grievances, for example, should be handled through university grievance channels, after departmental grievance procedures have been exhausted. In the areas of appointment, tenure, promotion, and staff development, the librarians, organized as a faculty, can operate much the same as teaching faculty, though the criteria may vary. In other areas of library policy and practice, on the other hand, there may be many factors, inside and outside the library, that must be considered in decision-making. The university librarian (director or dean) should have freedom to take action on the basis of advice from various sources: library faculty committees, department heads, teaching faculty, and other university personnel.

III. Space. University Library Statistics reveals serious discrepancies between ideal or theoretical standards for space and hard existing facts. For example, among the 49 university libraries reporting, the seating capacity as a percentage of enrollment averaged only 16, in contrast to the usually recommended minimum of 25 or 30 percent. Nevertheless, the failure of many libraries to achieve adequate standards for various types of space is a sound reason for proposing adoption of satisfactory norms. On the basis of the findings of two leading experts in this field, Metcalf and Ellsworth, therefore, the following basic criteria are proposed for the three chief elements: book, reader, and staff space:

Metcalf declares, in discussing space requirements for book stacks, that the first rule should be: "Beware of formulas." As a tentative suggestion, however, he states that "Not more than 12 volumes per square foot should be used for larger undergraduate collections of up to 100,000 volumes. Thirteen is safe for considerably larger collections and 15 for universities with great research collections and open access for graduate students and faculty only. Up to 20 can be used for a great research library with very limited stack access, narrow stack aisles and long ranges."

An alternative formula is recommended by Bareither and Schillinger: First 150,000 volumes: .1 SF per bound volume; second 150,000 volumes: .09 SF per bound volume; next 300,000 volumes: .08 SF per bound volume; all volumes in excess of 600,000 volumes: .07 SF per bound volume.[1]

[1]Harlan D. Bareither and J. L. Schillinger, University Space Planning. Urbana: Univ. of Illinois Press, 1968. p. 65.

For reader space, Metcalf concludes that "for undergraduates 25 sq. ft. for each seat in a reading area or for open carrels in a book stack should be adequate.... Thirty sq. ft. for the use of a master's candidate, 35 to 40 sq. ft. for one writing a doctoral dissertation, and from that up to as much as 75 sq. ft. or even more for a private study for a faculty member." Metcalf adds: "In general, it is fair to say that in our state universities, if provision can be made for 25 percent of the students at one time in the university library, that would be adequate.[1]

Under the heading of "Space for the Staff," too many variables are present for any fixed criteria for administrative personnel. For the public service staff, Metcalf recommends a minimum of 125 sq. ft. per person for circulation and reference department heads and "occasionally for some other professional assistants," and "100 sq. ft. per person on duty at one time." For all "groups that can be lumped under the heading 'processing,' 100 sq. ft. per person," Metcalf finds, "is an absolute minimum...for housing and equipment, plus another 25 sq. ft. for the section head of each section with as many as five persons."

The question of lighting has many complex aspects and it may be debatable whether it is practicable to state any standards. Metcalf "is not convinced that anything over 25 to 30 foot-candles is required except in limited areas," though he recommends that "a new library be wired so that 50 foot-candles of light intensity on reading surfaces can be made available anywhere without complete rewiring."

IV. Finances. Various attempts have been made to set up standards for the financial support of university libraries, e.g., relationship of total library expenditures to total university expenditures for general and educational purposes; relationship of total library expenditures to salaries and wages, to books, periodicals, and binding and to general expense; student per capita expenditures for books, periodicals, and binding and for total library expenditures; financial support in relation to stages of library development; and the distribution of book funds by subject fields and by types of material.

The 1959 ALA Standards for College Libraries states that "The library budget should be determined in relation to the total budget of the institution for educational and general purposes." The program of library service outlined in the standards proposed "will normally require a minimum of five percent of the total education and general budget." The five percent figure has been widely applied also to university libraries to measure adequacy of support.

In its Guide to University Library Standards (1965), the Canadian Association of College and University Libraries recommended that the following factors be taken into account in assessing the necessary standard of financial

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[1] Keyes Metcalf and R. E. Ellsworth, Planning the Academic Library, Oriel Press, 1971, p. 59.

support: (a) size and quality of bookstock; (b) total student enrollment; (c) extent and growth of graduate studies; (d) rate of growth of the institution; (e) amount of faculty research; (f) extension projects; (g) introduction of new courses. In a complementary report CACUL recommended these levels of support: (1) "Ten percent of the institutional operating budget should be considered a minimum for the ordinary operation and development of established libraries, in universities with well established curricula, during the next ten years." (2) "New institutions, and others which are undertaking new programmes, should raise their library expenditures to considerably more than ten percent of the institutional operating budget until the necessary library services are established." Possible reasons for the relatively high percentage levels proposed by CACUL were that at the time the standard was set the Canadian libraries had more catching up to do in their development and a number of new universities had been founded.[1]

It should be noted that some university presidents object to a percentage standard for library budgets on the ground that there is great diversity of "institutional environments" and of "missions" among individual institutions.

In realistic terms, one has to recognize that the university library's share of total funds is generally well under the old ACRL five percent figure and far below the Canadian utopia of ten percent. University Library Statistics revealed that among the 50 libraries reporting, the range was from 1.6 to 8.6 percent for total library expenditures in relation to total university expenditures for general and educational purposes. The average was 3.5 and the median 3.6 percent. The Joint Committee believes, nevertheless, that five percent standard is still reasonable as a minimum for the maintenance of high-quality libraries.

On the matter of the relationship of total library expenditures to salaries and wages, to books, periodicals, and binding, and to general expense, reference again to University Library Statistics shows a wide spread. For salaries and wages, the range was from 43.6 to 67.8 percent (the median was 56); and for books, periodicals, and binding, from 21.2 to 50 percent (median 36.5); and for general expense, from 2.5 to 28.5 percent (median 5.5). As a standard, it is proposed that the range for salaries and wages should be between 60 and 65 percent; for books, periodicals, and binding between 30 and 35 percent; and for general expense, between five and ten percent. It is recognized that the use of automation and other forms of mechanization may require a percentage increase in general expense.[2]

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[1] The 1973-74 expenditures of 23 Canadian university libraries ranged from a high of 11.78 to a low of 5.02 percent of institutional operating expenditures, with an average of 7.61 and a median of 7.49.

[2] The U.S. Office of Education's Library Statistics of College and Universities, 1971, covering more than 2,500 American college and university libraries, found that 57 percent of operating funds was spent on salaries and wages and 34 percent on books and other library materials. For comparative purposes, Canadian universities in 1973-74 spent an average of 57.1 percent on salaries, 30.7 on acquisitions and binding, and 12.2 for other expenses.

University Library Statistics reveal far greater differences among libraries in student per capita expenditures for books, periodicals, and binding, and for total library expenditures. Institution A, for example, spent more than ten times as much per capita in both categories as institution B at the bottom of the group. To be meaningful over a period of time, any standard would have to be expressed in an index or constant dollar figure. Without more extended investigation and research, the Joint Committee will defer any recommendation for standards in this area.

Concerning the distribution of book funds by subject fields and types of material, numerous studies exist. In their University Library Administration, Rogers and Weber concluded that "One type of book fund, the departmental allotment, is passing from the scene in most universities. Established at a time when funds were more scarce, such allotments insured a share of meager funds to each department. With greater affluence in book funds and with a more competent library curatorial staff, the raison d'etre for such funding and the very considerable red tape that accompanied it have vanished. Blanket order arrangements have contributed to the relinquishment of the allotment system also because many books are acquired across the whole range of disciplines." (p. 108)

A strong exception is made to this statement by another experienced university library administrator, who maintains that "we have excellent backing from our faculty because they have some say in how funds are spent." The happy affluence described by Rogers and Weber has also disappeared, at least temporarily, for many libraries.

Two steps are recommended for the management of available book funds: first, the development and adoption of an acquisition policy statement is recommended for every university library. By specifying the depth of coverage in all subject areas with which the library is concerned, the collections will be built up according to a logical, well-conceived plan, rather than aimlessly and without clear purpose. The extent of coverage will naturally vary widely in different institutions. Second, departmental allocations of reasonable size for current monographic material may be made to insure faculty participation in book selection.

V. Public Services. Potential areas for standardization in the public service areas are somewhat limited. Circulation statistics, for example, are generally suspect, mainly because they may indicate a mere fraction of actual library use. Much consultation of open-shelf collections is unrecorded. A research study some years ago, sponsored by the Council on Library Resources, estimated that the nonrecorded use of books in libraries may be three to nine times as great as the formal circulation figures, varying according to policies governing stack access and open-shelf collections available to readers.

Readers' services assume a variety of forms: reference and research assistance, circulation of library materials, photographic services, interlibrary loans, teaching the use of books and libraries, exhibits, audiovisual services, etc. Few of these are susceptible to standardization. Most widely accepted is the interlibrary loan code first adopted in 1940 and since revised from time to time to meet changing conditions.

A matter of frequent agitation among students is demands for longer hours. Nothing less than 24 hours per day will satisfy some nighthawks, but practical considerations of expense and staff must influence library administrators. Modern concepts of library architecture encourage self-service on the part of library users and minimum supervision. Well-planned new buildings provide for a single public exit, equipped with turnstiles, through which everyone clears in leaving the library. The need for a full staff throughout the building is eliminated, especially when few readers are present. A skeleton staff may therefore be sufficient to cover long evening hours.

Among the 50 libraries reported in University Library Statistics, the schedule of hours open ranged from 74 to 121.5 per week, with a median of exactly 100. The median figure would appear to be a reasonable standard.

In the same tabulation, student per capita circulation, general and reserve, varied from 9.55 to 109.18, with a median of 39.41. General circulation alone ranges from 4.31 to 82.98, on an annual basis, with a median of 28.31. Despite skepticism about the validity of circulation statistics, they are somewhat indicative of the extent of library use. If that point is granted, a minimum general circulation (home use) of 30 borrowings per year and of 40 for general and reserve circulation are required to demonstrate that the library is a vital institution on campus. Circulation figures will be influenced, of course, by types of library buildings and length of loans.

The public service aspects of departmental and divisional libraries have long called for recognition and standardizing principles. On every university campus discussion goes on concerning the relative merits of centralized versus decentralized systems. Practices vary from completely centralized systems, with all library operations in one building, to a central library supplemented by dozens or even scores of departmental libraries located elsewhere. Whatever policies are adopted in reference to centralization or decentralization of library services, the following rules are recommended:

1. Books and other library materials should be purchased or otherwise acquired through the library's acquisitions department, and not by individual departments.

2. Materials should be classified, cataloged, bound, or otherwise processed centrally, except certain nonbook materials.

3. Books, pamphlets, periodicals, or other publications received and preserved should be recorded in the central library catalog.

4. Every book acquired by the university or any of its departments should be considered a part of the library's collections.

5. Departmental or college libraries and librarians should belong to the central library organization, and be under the supervision of the chief librarian, who should be responsible for administration of the entire system.

6. There should be free interchange of material among all libraries on a campus.

7. In such matters as hours of service, physical facilities, and qualifications of staff, departmental and divisional library standards should be in general conformance with central library practices.

VI. Administration. Every university library should be governed by a statement of policies, including the following provisions:

1. A clear definition of the relation of the librarian to the university administration.

2. A definition of what constitutes the library resources of the university, specifying that they comprise all books, pamphlets, periodicals, and other materials purchased or acquired in any manner by the university and preserved and used in libraries to aid students and investigators.

3. Placing the administration of all library resources and services wherever located under the university librarian.

4. A description of the librarian's duties, making him/her responsible for the selection, acquisition, and preparation for use of all library materials; for the selection and direction of the library staff; for the preparation of budgets and reports; and for the performance of such other duties as are commonly included under university library administration.

5. Endorsement of the ALA "Bill of Rights" and "Right to Read" statements.

6. Appointment of a faculty-student library committee to advise the university librarian and library staff on programs of library development and services and to bring faculty-student points of view to the administration of the library.

Clifton Brock, Jr.
G. A. Harrer
John W. Heussman
Jay K. Lucker
John P. McDonald
Ellsworth G. Mason
Robert B. Downs, Chairman

November 5, 1974

* * * *

APPENDIX G

REPORT OF THE COMMITTEE ON ACCESS TO MANUSCRIPTS AND RARE BOOKS

Since October 1973 the Committee on Access to Manuscripts and Rare Books has been working on two statements: one on Access to Original Research Materials in Libraries, Archives, and Manuscript Repositories, the other on Reproduction of Manuscripts and Archives for Noncommercial Purposes. The two statements appear as Appendices H and I, respectively, in the Minutes.

The main concern regarding access is how does a library balance access to source materials with its obligation to preserve them? Other concerns include considerations in accepting restrictions a donor might impose in order to acquire an important research collection; restricting access to collections in order to protect living persons from an invasion of privacy; demanding from the user official identification and signature to regulations designed to protect source materials from mutilation or theft; and the merits of granting equal access to all users.

With regard to reproduction of manuscripts for noncommercial use, a main concern was to distinguish between property rights and literary rights -- the fact that the library owns the paper, but not the words -- and to make clear that the burden rests on the user to obtain permission to publish from those owning the literary rights. Other matters included the emerging problem of so-called "mail-order-research;" the desirability of reproducing entire manuscript collections; and the obligation of the user to give credit to libraries holding the original materials of copies he may have used.

We had the advantage of draft statements on access and reproduction from the Association of College and Research Libraries (These statements appear as Appendices J and K, respectively, of the Minutes.) and an access statement from the Society of American Archivists. The Committee wishes to express its indebtedness for this work; the committee's statements follow the wording of some sections of these drafts, but differ significantly in others.

Under access, for example,

1) The ACRL statement of equal terms of access to a repository's collections for all users was modified by the words "unless prohibited by the regulations of the institution."

2) The committee's statement emphasizes the protection of individuals from an invasion of privacy.

3) The committee's statement does not say a library has "the responsibility" to inform every searcher of its collections, only that it "should inform." Otherwise a library might be put on the defensive by the accusation that key material had been withheld and favored treatment given to another.

4) The committee felt a library has the right to ask the user for official identification and for his signature to its regulations.

5) The library staff may deny access to users who have misused or destroyed materials or have otherwise failed to abide by the library's regulations.

With regard to reproduction of manuscripts,

1) The committee felt that to require permission from the owners of the literary rights to make a copy of manuscripts for a user was a practical impossibility and not in the interests of research. A library or user would be faced with a detective job of tracking down the author, his heirs, or other who owned the literary rights. Since it has not been decided that a photocopy of a manuscript constitutes publication, the practice of making copies for users should continue.

2) The copying of an entire manuscript archive in the interests of research, with accompanying guides to the archive, should be encouraged.

3) A library cannot be expected to go beyond the limits of its staff resources in providing copies of original materials, either within the library, or by mail.

The committee's statements have been reviewed by legal counsel. It has been our intention to recommend as few restrictions as possible to preserve irreplaceable source materials. The committee does not view these recommendations as having the force of law, but as recommendations a library can use to support its own policies.

As to our future course, the statements on access and on reproduction will be published prior to the ARL May meeting, when they will be voted. If they are approved, the committee is thinking of two courses of action. Approval will mean there will then be statements from three associations; ARL's two; a statement on access and one on reproduction of materials from ACRL; and an access statement from the Society of American Archivists. It would be better if our profession were served by one set of statements, and the committee will approach ACRL and the SAA to see if our statements would be acceptable, or if compromise statements can be worked out.

Secondly, the committee is sensitive to the fact that relations between the archivist and the researcher are strained. It is understandable that a researcher on the track of an idea wants as few obstacles in his path as possible. Many of you have read Jim Thorpe's "The Use of Manuscripts in Literary Research" published this year for the Modern Language Association where this problem is dealt with at length. The American Historical Association is also concerned. Its Joint Committee on Historians and Archives has issued a statement, "Ethical Standards for Users of Archives," to the effect that

detrimental treatment of research materials by scholarly users may result in "onerous security restrictions by archival agencies." If our statements on access and reproduction are approved in May, the committee is considering taking the initiative and meeting with the AHA Joint Committee to see if our statements can be acknowledged by the American Historical Association. Common acceptance would do much to bridge the gap of misunderstanding that now exists. We might then approach the Modern Language Association. I would appreciate ARL's comments on this before the May meeting is over.

William Bond
William Cagle
John Finzi
James Henderson
Herman Kahn
Ray Frantz, Jr., Chairman

December 11, 1974

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APPENDIX H

Statement on Access to Original Research Materials in Libraries, Archives, and Manuscript Repositories

1. It is the responsibility of a library, archives, or manuscript repository to make available to qualified researchers, as defined by the respective institutions, on equal terms of access, research materials in its possession unless prohibited by the regulations of the institution. Because the accessibility of material depends on knowing of its existence, a repository should inform researchers of the collections in its custody by means of a public catalog, inventories, other finding aids, published guides, and reports to the National Union Catalog of Manuscript Collections where appropriate. Staff members should assist researchers as freely as possible but should not be expected to engage in extended research.

2. To protect and insure the continued accessibility of the material in its custody, the repository may impose several conditions, which it should publish or otherwise make available to users.

a. The repository may restrict use of fragile or unusually valuable materials. In such cases it should make available suitable reproductions whenever possible.

b. All materials must be used in accordance with the regulations of and under the supervision of the repository. Each repository should publish and furnish to potential researchers its regulations governing access and use. Such regulations must be equally applied and enforced without differentiation based on institutional affiliation.

c. The repository may refuse access to unprocessed materials.

d. Normally, a repository will not send research materials for use outside its building or jurisdiction. Under special circumstances a collection or a portion of it may be loaned or placed on deposit with another institution.

e. The repository may refuse access to an individual researcher who in the opinion of the staff has demonstrated such carelessness or deliberate destructiveness as to endanger the safety of the material,

or who has refused to comply with the regulations of the repository.

f. A repository may withhold material which in its judgment if made available would constitute an invasion of privacy, or result in damage to living persons.

g. As a protection to the collections, a repository may reasonably require acceptable identification of any person wishing to use its materials, as well as a signature indicating they have read a statement defining the policies and regulations of the repository.

3. Each repository should make available to researchers a suggested form of citation crediting the repository and identifying items within the collection for later reference. Citations to copies of the originals which are in other repositories should include the location of the originals, if known.

4. A repository should advise the researcher that he and his publisher have the sole responsibility for securing permission to publish from unpublished manuscripts in which literary property rights are retained or to publish any extensive quotation from copyrighted works. Manuscripts cannot be used for publication without due regard for common law rights, literary rights, property rights, and libel laws. The user assumes legal responsibility for observing these rights. A repository if asked should inform the researcher about known retention of literary rights.

5. A repository should not deny access to materials or grant exclusive use of materials to any person or persons, or conceal the existence of any body of material from any researchers, unless required to do so by law, donor, or purchase stipulations, or other compelling factors.

6. A repository should not charge fees for the noncommercial use of its collections.

7. Repositories are committed to preserving manuscript and archival materials and to making them available for research as soon as possible. At the same time, it is recognized that every repository has certain obligations to protect confidentiality in its records in accordance with law and that every private donor has the right to impose reasonable restrictions upon his papers to protect confidentiality for a reasonable period of time.

a. It is the responsibility of the repository to inform researchers of the restrictions which apply to individual collections or record groups.

b. The repository should discourage donors from imposing unreasonable restrictions and should encourage a specific time limitation on all restrictions.

c. The repository should periodically re-evaluate restricted records and work toward providing free access to material.

The ARL Committee on Access to Manuscripts and Rare Books acknowledges its indebtedness to statements on access and reproduction drafted by the Association of College and Research Libraries and the Society of American Archivists.

November 1974

APPENDIX I

Statement on the Reproduction of Manuscripts and Archives for Noncommercial Purposes

1. It is the responsibility of a library, archives, or manuscript repository within the limits of its resources to assist qualified researchers, as defined by the respective institutions, by making or having made reproductions of any material in its possession, subject to certain conditions.

Manuscript and archival materials may be reproduced if:

a. the condition of said materials will permit such reproduction without damage.

b. said materials have no gift, purchase, or legal, or other type of restrictions on reproduction.

2. In the interest of making research collections more generally available, the orderly microfilming of entire manuscript collections together with appropriate guides, within the provisions of law, is to be encouraged. Also in the interest of making manuscript items available to researchers, the custom and practice among libraries of making one "fair-used" copy of a manuscript that is not otherwise restricted are to be encouraged to the fullest extent permitted by law.

3. A repository has the right to refuse to furnish copies or do extended research in response to requests which require an unreasonable amount of time with respect to the priorities of the repository.

4. The price of reproductions shall be set by the repository.

5. Copies should be made for the use of individual researchers and educational institutions as follows:

a. Repositories which permit their manuscript and archival collections to be reproduced in whole or part must specify before the copies are made what restrictions if any have been placed on the use of the copies. Purchasers must abide by these restrictions.

b. All reproductions must identify the source of the original manuscript collection or archival record group.

c. Copies of reproductions should not be made for a third party by the owner of a reproduction without the written permission of the repository owning the originals.

6. In order to insure that proper credit is given to institutions and that references to original materials are maintained, researchers are expected to cite the source of original manuscripts and archives in their published work. Manuscripts, or reproductions of them, cannot be used for publication without due regard for copyright, legal restrictions, and the regulations of the repository. The researcher assumes legal responsibility for observing these rights. A repository should inform the researcher about known retention of literary rights, as well as other known restrictions.

The ARL Committee on Access to Manuscripts and Rare Books acknowledges its indebtedness to statements on access and reproduction drafted by the Association of College and Research Libraries and the Society of American Archivists.

November 1974

APPENDIX J

Statement on Access to Original Research Materials in Libraries, Archives, and Manuscript Repositories

Drafted by the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section of the Association of College and Research Libraries. Approved as policy by the ACRL Board of Directors in January 1974.

1. It is the responsibility of a library, archives, or manuscript repository to make available to qualified researchers, as defined by the respective institutions, on equal terms of access, research materials in its possession. Because the accessibility of material depends on knowing of its existence, it is the responsibility of a repository to inform researchers of the collections in its custody. This may be accomplished through a card catalog, inventories and other internal finding aids, a published guide and reports to NUCMC where appropriate, and the freely offered assistance of staff members.
2. To protect and insure the continued accessibility of the material in its custody, the repository may impose several conditions.
    a. The repository may limit the use of fragile or unusually valuable materials so long as suitable reproductions are made available for the use of all researchers.
    b. All materials must be used in accordance with the rules of and under the supervision of the repository. Each repository should publish and furnish to potential researchers its rules governing access and use. Such rules must be equally applied and enforced.
    c. The repository may refuse access to unprocessed materials, so long as such refusal is applied to all researchers.
    d. Normally, a repository will not send research materials for use outside its building or jurisdiction. Under special circumstances a collection or a portion of it may be loaned or placed on deposit with another institution.
    e. The repository may refuse access to an individual researcher who has demonstrated such carelessness or deliberate destructiveness as to endanger the safety of the material.
3. Each repository should publish a suggested form of citation crediting the repository and identifying items within the collection for later reference. Citations to copies of materials in other repositories should include the location of the originals.
4. A repository should advise the researcher that he and his publisher have the sole responsibility for securing permission to publish from unpublished manuscripts in which literary property rights are retained or to publish any extensive quotation from copyrighted works. Manuscripts cannot be used for publication without due regard for common law rights, literary rights, property rights, and libel laws. The user assumes legal responsibility for observing these rights. A repository should, to the best of its ability, inform the researcher about known retention of literary rights.
5. A repository should not grant exclusive use of materials to any person or persons, or conceal the existence of any body of material from any researcher unless required to do so by law, donor, or purchase stipulations.
6. A repository should, whenever possible, inform a researcher of parallel research by other individuals using the same papers. It may supply names upon request.
7. Repositories are committed to preserving manuscript and archival materials and to making them available for research as soon as possible. At the same time, it is recognized that every repository has certain obligations to protect confidentiality in its records in accordance with law and that every private donor has the right to impose reasonable restrictions upon his papers to protect confidentiality for a reasonable period of time.
    a. It is the responsibility of the repository to inform researchers of the restrictions which apply to individual collections or record groups.
    b. The repository should discourage donors from imposing unreasonable restrictions.
    c. The repository should, whenever possible, require a specific time limit on all restrictions.
    d. The repository should periodically reevaluate restricted records and work toward providing access to material no longer harmful to individuals or to national interest. ■■

Single reprint copies of this statement are available free of charge from the ACRL Office, 50 E. Huron St., Chicago, IL 60611. Multiple copies are 20¢ each.

Statement on the Reproduction of Manuscripts and Archives for Noncommercial Purposes

Drafted by the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section of the Association of College and Research Libraries. Approved as policy by the ACRL Board of Directors in January 1974.

1. It is the responsibility of a library, archives, or manuscript repository to assist qualified researchers, as defined by the respective institutions, by making or having made reproductions of any material in its possession, subject to certain conditions.

   Manuscript and archival materials may be reproduced if:

   a. the condition of the originals will permit such reproduction
   b. the originals have no gift, purchase, or legal restrictions on reproduction
   c. the holders of appropriate common law or statutory rights have given their written approval to said reproductions.

2. All conditions relating to use of manuscript or archival materials shall apply to reproductions.

3. No repository shall be required to reproduce a complete manuscript collection or archival record group or extensive portions therefrom, the limitation to be set by the owning repository. The repository may, by a special agreement, do so for the mutual advantage of individuals and other institutions and may offer such copies for sale on its own behalf.

4. The price of reproductions shall be set by the repository, which should endeavor to keep charges to a minimum.

5. Copies should be made for the use of individual researchers and educational institutions as follows:

   a. Repositories which permit their manuscript and archival collections to be reproduced in whole or part must specify before the copies are made what restrictions if any have been placed on the use of the copies. Purchasers must abide by these restrictions.
   b. All reproductions must identify the source of the original manuscript collection or archival record group.
   c. Copies of reproductions should not be made for a third party by the owner of a reproduction without the written permission of the repository owning the originals.

6. The repository must inform the researcher that permission to make extensive direct quotation from or to print in full any reproduction must be obtained from the institution owning the originals. In the case of material under copyright, the right to quote or print must also be obtained by the researcher from the copyright owner. Manuscripts cannot be used for publication without due regard for common law rights, literary rights, property rights, and libel laws. The researcher assumes legal responsibility for observing these rights. A repository should, to the best of its ability, inform the researcher about known retention of literary rights.

■■

Single reprint copies of this statement are available free of charge from the ACRL Office, 50 E. Huron St., Chicago, IL 60611. Multiple copies are 20¢ each.

ART LIBRARY COLLECTIONS IN NORTH AMERICA

The Art Library Society of North America is in the process of compiling a directory of art library collections in North America. The Directory Committee is interested in public and private library collections that would be of interest to the artist or art historian. Books, serials, manuscripts, and audiovisual material are all within the scope of the directory. The committee is especially interested in information on collections that are not listed in the standard library guides. If any readers work with such collections or know of any, please contact Martha E. Kelde, Chairman, ARLIS/NA Directory Committee, Art Library, Watson Library, University of Kansas, Lawrence, KS 66045.

APPENDIX L

REPORT OF THE COMMITTEE ON THE NATIONAL PROGRAM FOR ACQUISITIONS & CATALOGING

The concern of the ARL Committee on NPAC this past year has been to help the Library of Congress determine how to expand its NPAC coverage: (a) by providing information regarding the categories of publications received from NPAC countries excluded from the LC cataloging program for which ARL libraries find it necessary to provide original cataloging; (b) by determining the volume of materials from countries not yet included in NPAC which ARL libraries must catalog without LC copy. Data to yield this information has been requested from a sample of ARL libraries. LC itself is surveying the need for expansion of its cataloging of U.S. publications.

Last year, during the LC appropriations hearing in the House, criticism of NPAC led to a special investigation of NPAC sponsored by the House Subcommittee on the Legislative Branch Appropriations Bill. Although the appropriation for NPAC for FY 1975 was not reduced (indeed it was increased slightly to cover increased costs in the existing program but not to permit the expansion of the program to additional countries), the Committee felt that it would be useful for LC to have information on the savings that the expanded LC cataloging program is effecting for ARL libraries. A questionnaire intended to provide this information has been distributed to the member libraries. Returns are now coming in.

Philip McNiff
Howard Sullivan
Joseph Treyz, Jr.
Frederick H. Wagman, Chairman

December 10, 1974

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APPENDIX M

REPORT OF THE COMMITTEE ON INTERLIBRARY LOAN

Since the Spring meeting of ARL, the Committee has turned attention to the proposed System of Interlibrary Communication (SILC). A major meeting of 31 representatives of the library community was held in Washington July 19, 1974. Its purpose was to discuss the SILC feasibility study (Phase I). Questions were raised on a number of aspects of the proposal. Dr. Robert Hayes provided a very useful summary of the project phases and answered questions about accounting, operational procedures, estimates of use, and management questions.

The SILC pilot test (Phase II) was seen as important 1) to test and evaluate the technical, operational, management, and economic feasibility of SILC, 2) to generate badly needed data for a *truer* picture of the volume and costs of interlibrary loan activity, and 3) to fully explore the human factors and problems involved in SILC. Dr. Hayes estimated Phase II to cost $578,000.

Robert Wedgeworth said that, from the ALA point of view, the state and regional systems are important and seem to offer the best approach to providing interlibrary loan services. Several people indicated that emphasis should be on developing a bibliographic system which will provide location information and bibliographic verification, not presently conceived as part of the SILC system design. The general reaction of the group was to favor going further with the SILC study.

In mid-October Dr. Hayes provided a combined prospectus of Phase II; in mid-November he added a new compilation of financial viability in response to further questions raised by ARL and prospective funding agencies. It has seemed especially important to know whether the cost of the operating system could be afforded by libraries. The viability study estimated that the operating budget for an estimated 1,000,000 interlibrary requests would initially be $400,000. To cover the fixed costs of SILC management, a surcharge would be added to each basic charge - say 25 percent or 30 percent. Finally, there was an estimate that cash flow to cover accounts receivable would require $200,000 to $500,000 before the system costs would be self-sustaining.

This past November the ARL Committee raised the fundamental question of whether it might be better to work through existing or emerging regional computer-based systems rather than create a monolithic new system. One disadvantage of such a decentralized approach is that it would take more years to develop a comprehensive national system, including effective interchange of machine-readable inquiries between computer-based systems; the cost for each system to develop an interlibrary loan support capacity might well in the aggregate cost more than SILC. On the other hand, the operational

feasibility may be improved; it might be cheaper in daily operating costs since the vast majority of loan requests would be met within the local region and would thereby be transacted by one of the regional systems; and the decentralized approach assures the availability of bibliographic data bases and holdings information.

The issue is not resolved as to whether it is better to create one national SILC system without having machine records of bibliographic data and holdings as a basis for searching an inquiry to meet interlibrary loan requirements, or whether it would be more practical to urge emerging regional systems to develop a SILC-like interlibrary loan support capacity and for these systems to have the ability to talk one with the other when inquiries must be satisfied beyond resources held locally. The committee is continuing its study of this question. It will meet in Chicago in January for further deliberations and the chairman will present the committee's views to the Board of Directors at that time.

Richard Chapin
Ruth Kirk
John Humphry
Jay Lucker
David Weber, Chairman

December 13, 1974

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APPENDIX N

REPORT OF THE COMMITTEE ON FOREIGN NEWSPAPERS ON MICROFILM

The ARL Standing Committee on Foreign Newspapers on Microfilm met twice during 1974: in Chicago on January 20, 1974, and on May 9, 1974 in Toronto. The full minutes of these meetings were published in the first two 1974 issues of the LC Foreign Newspaper and Gazette Report.

During 1974, the committee concentrated its efforts on three activities: the ARL Foreign Newspaper Microfilm Project, administered for the ARL by the Center for Research Libraries; the expansion of foreign newspaper microfilming activities at the Library of Congress; and the development of a new foreign official gazette microfilming program, a project undertaken jointly by the Library of Congress and the New York Public Library. Major developments in each of these areas are summarized below. It is expected that committee meetings in 1975 will remain focused on these three principal concerns.

ARL Foreign Newspaper Microfilm Project

It was agreed that an annual report for the project would be prepared. At the committee meeting in Toronto, Mr. Williams presented a report for calendar year 1973; it included a statement of cash receipts and disbursements as well as a budget for 1974. The 1973 report was published and a report for 1974 will be forwarded after its compilation in mid-January of 1975. The financial arrangement between ARL and CRL with regard to the project was clarified. It was agreed that, beginning in January 1974, CRL would allocate to the project any interest earned through the year on project funds and will charge the project all incurred direct costs as closely as these can be estimated. A new holdings list for the project was prepared and distributed in June. A large expansion of the project's backfile holdings was approved by the committee and implemented. Mr. Williams reported that, as of December 10, 1974, backfiles of 21 titles had been purchased during 1974 at a cost of $39,830.84.

Foreign Newspaper Microfilming Activities at LC

John Y. Cole, Coordinator, Foreign Newspaper Microfilming, prepared three issues of the LC Foreign Newspaper and Gazette Report and described the activities of his office in an article, "Developing a National Foreign Newspaper Microfilming Program," Library Resources and Technical Services 18 (Winter 1974): 5-17. The article... includes a description of the role of the ARL in coordinating foreign newspaper microfilming. Sales of LC's Newspaper in Microform: Foreign Countries 1948-1972 (1973) continued at a brisk pace. An annual supplement is now being prepared. A new list of foreign newspapers received by LC was prepared and published in Newspapers Received Currently in the Library of Congress (1974).

Foreign Official Gazette Microfilming

In late 1973, the scope of the committee was expanded to include foreign gazettes as well as foreign newspapers. In support of the new NYPL/LC foreign official gazette microfilming effort, the committee sponsored a request to the Council on Library Resources for funds for gazette collation and bibliographic work. The Council was not able to provide the funds, but microfilming at the two institutions has nevertheless proceeded. The final 1974 issue of the Foreign Newspaper and Gazette Report, to be distributed by the Library of Congress in late December, features announcements of approximately 75 national gazettes now available on a current basis from either NYPL or LC. In 1975 the committee will present a recommendation to subscribers to the ARL Foreign Official Gazette Microfilm Project regarding the project's relationship to the new NYPL/LC gazette filming effort. The ARL Foreign Gazette Project has not been active for several years. It, like the ARL Foreign Newspaper Project, is administered for the ARL by the Center for Research Libraries in Chicago.

Basil Stuart-Stubbs
Lucien W. White
Gordon R. Williams
John G. Lorenz, Chairman

December 15, 1974

* * * *

ARL Foreign Newspaper Project
Backfiles Purchased in 1974

Egyptian Gazette	1930-1951	$ 396.50
London Sunday Times	1876-1899	652.00
International Herald Tribune (price includes postage and handling for both series)	1887-1916 1931-1952	2,300.10
La Croix	June 1883-June 1944	2,164.39
Le Populaire	May 1916-June 1940	870.64
postage and handling for the above two		94.71
Die Zeit	21 Feb 1946-1972	953.98
London Sunday Times	1937-1955	394.39
Dawn	1944-1950	263.95
El Universal (Mexico)	1936-31 Jan. 1938	91.00
El Universal (Mexico)	1934-1935	71.00
ABC	1934-June 1936	270.00
Le Figaro	1947-1952	312.00
El Nacional	1954-June 1962	1,960.58
Dawn	Oct. 1941-2 Mar. 1944	27.50
London Sunday Times	1900-1936	1,102.94
The Globe and The Globe and Mail (price includes REA shipment costs)	1896-May 1938 Mar. 1946-1951	4,901.75
Politiken	1901-1951	8,915.00
Montreal Star (price includes REA shipment costs)	1943-1957	4,295.08
France-Soir	Sept. 1944-1952	1,365.71
La Nacion (price includes shipping costs involved so far for the La Nacion Project)	July 1939-1950	967.67
El Nacional	July 1962-Dec. 1964	354.00
Vercer	1962; July 1967-Dec. 1970	557 50
London Observer	1916-1955	1,162.63
Neues Wiener Tagblatt	July 1938-20 Mar. 1940 May 1940-Dec. 1944	215.51
Osservatore Romano	1849-1950	2,954.89
El Mercurio	June 1914-Dec. 1937 1953-1955 (est)	2,226.00
	total	$39,841.42

New Title, 1974

Novedades	Oct. 1970+	$383.79 cost so far

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APPENDIX O

REPORT OF THE COMMITTEE ON LIBRARY ACQUISITIONS ON LATIN AMERICA

Ralph H. Hopp, President of ARL, appointed Carl W. Deal of the University of Illinois Library as Chairman for the period of 1974-75. Members of the committee are Donald Wisdom of the Library of Congress and Nettie Lee Benson of the University of Texas.

The chairman met with the committee members individually at the SALALM meetings in Austin, Texas in late April and discussed the committee's charge. No new projects were proposed for the committee at the Austin meetings, but it was suggested that the chairman should report to ARL on the various activities of SALALM in the area of acquisitions and related matters. The committee will meet during the ALA midwinter meetings in Chicago for further discussion and review of acquisition matters in our area of interest.

Some activities of SALALM's Committee on Acquisitions which are pertinent to the acquisition of Latin American library materials and to the interests of ARL are noted below.

1. The following recommendation was drafted by the SALALM Executive Board in response to a questionnaire circulated by the SALALM Committee on Acquisitions as follows: "That an official communication by SALALM be forwarded to the appropriate Library of Congress officials stating that as a result of a questionnaire submitted to the major Latin American research collections, priority 3 cataloging be assigned the following categories of current materials published in Latin America: humanities, specifically history and literature; social sciences, specifically economics, statistics, demography and political science; reference and bibliography for the humanities and the social sciences. The countries of primary interest are: Argentina, Uruguay, Chile, Brazil, Peru, Colombia, Venezuela, Mexico, and the Spanish-speaking Caribbean." (All other areas should be assigned priority 4 cataloging.)

2. Several SALALM service projects to serve smaller college and public libraries have been completed and should appear as publications in 1974 or 1975. They are a Basic List of Latin American Materials for New Collections, edited by Hensley Woodbridge and an acquisitions manual for colleges and public libraries compiled by Earl Pariseau. The latter was aided by a grant from the Tinker Foundation and was prepared in the Latin American, Spanish and Portuguese Division of the Library of Congress. It was also sponsored by the Scholarly Resources Committee of the Latin American Studies Association and

SALALM and will be published by the National Consortium of Latin American Studies Programs.

3. An Advisory Subcommittee to the Center for Research Libraries established by SALALM is working with CRL and SALALM in the design of a Latin American Microfilm Project similar to other programs administered by CRL for the other world areas. A questionnaire is in preparation to be circulated to SALALM members to determine the funding and the kinds of materials which could be acquired and/or filmed by CRL from or about Latin America. The Conference on Latin American history also is represented on the SALALM committee.

4. SALALM will continue to issue an annual working paper on new significant acquisitions. The continuation of this important guide earlier was in question. The singularly important Microfilm Projects Newsletter, edited for SALALM by Suzanne Hodgman at the University of Wisconsin Library, continues to appear annually and is an important guide to recent acquisitions of microfilmed materials on Latin America by American libraries.

5. At the XIX SALALM in Austin, Texas, in April, six working papers on the problems of acquiring materials from Central America were presented. Five of the papers were prepared by Latin American librarians. In addition, the SALALM Committee on Acquisitions sponsored a workshop by Latin American book dealers on their problems in supplying the needs of scholars and libraries in this country.

6. In response to the fear that materials published in Chile during the presidency of Salvador Allende are in danger of being lost or are virtually impossible to acquire from within Chile, a dozen research libraries are participating in a union list of books and serials which are held in this country as an assist to scholars studying this important period of Chilean history. The project, which was encouraged by SALALM, is under the direction of Mr. Lee Williams at Yale University, and the project has received some funds from the Latin American Studies Association. It is hoped that the G.K. Hall Co. will have the catalog in print by the summer of 1975.

Three present areas of concern which could develop into projects of the Committee on Acquisitions of SALALM in the future are: the need for a library cost price index for materials from Latin America, proposals of cooperative projects among research libraries which would contribute to reducing needless duplication in acquiring Latin American materials, and the acquisition of audiovisual materials from Latin America.

Two members of the Committee on Latin American Acquisitions, Dr. Nettie Lee Benson and Mr. Carl Deal, consulted with the Education Task Force on

Library and Information Resources, which was formed by the International Education Project of the American Council on Education. The recommendations of the Task Force have been formulated for the various world areas and are intended to assist educational and federal planners in developing priorities for future programs in all areas of international education.

Nettie Lee Benson
Donald Wisdom
Carl W. Deal, Chairman

December 12, 1974

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APPENDIX P

REPORT OF THE COMMITTEE ON LIBRARY ACQUISITIONS ON THE MIDDLE EAST

The role of the Committee on the Middle East is to concern itself with the development of American Library resources on the Middle East.

During 1974 the Committee concluded a study on the PL-480 program, examining the utilization of Arabic materials in terms of library processing and academic use. The study recommended that certain PL-480 Arabic shares be transferred, and the Library of Congress accepted the recommendations. The study will appear in the Fall 1974 Foreign Acquisitions Newsletter.

No regularly scheduled meetings of the full Committee were held. The Chairman, however, did have occasion to meet in person with the members on various occasions.

After the above-mentioned study, two logical steps suggest themselves: (1) an assessment of the quality of Middle East collections in terms of subject coverage, especially their ability to support current needs of scholarship, and (2) a survey of the Persian and Turkish holdings in American libraries.

During the next year the Committee will undertake a review of the pertinent literature on both collection development and current research, especially in the light of the Lambert report, and then attempt to devise a formula or program with which to evaluate present collecting policies, with the goal of proposing steps to improve subject coverage.

George Atiyeh
James Pollack
David H. Partington, Chairman

December 10, 1974

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APPENDIX Q

REPORT OF THE COMMITTEE ON LIBRARY ACQUISITIONS ON SOUTH ASIA

The South Asian Acquisitions Committee has been in process of being reconstituted during the past six months. Its membership now consists of: Richard De Gennaro, Director of Libraries, University of Pennsylvania Libraries; Paul J. Fasana, Chief, Preparation Services, New York Public Library; Maureen L. P. Patterson, Bibliographic Specialist on South Asia, University of Chicago; and Louis A. Jacob, Head, Southern Asia Section, Library of Congress, Chairman. We understand that this committee is now responsible to the Executive Director of the Association.

The focus of this committee is the context of library management with reference to South Asian acquisitions and then control. Each member has undertaken initiatives in this area in recent years. We have no special purpose to serve immediately and therefore have no plans to meet.

Louis A. Jacob

December 13, 1974

APPENDIX R

REPORT OF THE TASK FORCE ON THE FUTURE OF THE CARD CATALOG

The Task Force met twice during the year, once in April and once in October. In addition to the members, Suzanne Frankie attended the first meeting, and Judith Corin and John Rather were guests at the second.

In the course of its discussions, the Task Force came to the opinion that, rather than attempt to chart a proscribed course of development for the card catalogs of major North American research libraries, its immediate efforts should be devoted toward a presentation of the problems (and their possible solutions) related to maintenance and growth of those catalogs.

To this end, the Task Force has planned a program for the ARL January 1975 meeting. Participants in the program include representatives from a number of the ARL Libraries which have been most active in consideration of future bibliographical representation for library materials.

Hugh Atkinson
Richard De Gennaro
William Welsh
Joseph Rosenthal, Chairman

December 17, 1974

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APPENDIX S

REPORT OF THE NATIONAL AGRICULTURAL LIBRARY

INTRODUCTION

Attention has been focused this year on the user, the quality of service he receives, and the need for greater personal services. Access to a variety of on-line data bases has made a greater amount of information available more rapidly than ever before, while mechanization of library processes provides more capabilities of utilizing information. This emphasis on quality of service is reflected in several top-level appointments.

PERSONNEL

The Secretary of Agriculture, Earl L. Butz, named Dr. Richard A. Farley as Director of the National Agricultural Library. He assumed his duties July 1, 1974. Dr. Farley came from McGill University, where he was director of that library system. He is well-known in agricultural library circles with experience at the University of Nebraska, and Kansas State University libraries. Dr. Farley has served as a Councilor of the American Library Association. He has been chairman of the Agricultural and Biological Sciences section of ACRL. While in Kansas he served two terms as a member and chairman of the Kansas State Library Advisory Commission. He served also as President of the Kansas Library Association. Dr. Farley served on the ad hoc committee for the National Agricultural Library studying an agricultural sciences information network.

Dr. Joseph F. Caponio, Associate Director, who had been serving as Acting Director in the interim following the resignation of John Sherrod in April 1973, resigned June 9 to join the National Oceanic and Atmospheric Administration as director of the Environmental Science Information Center.

The post of Associate Director was filled December 1, 1974, with the appointment of Samuel T. Waters. Previously, Mr. Waters had served as Deputy Director of Resource Development. Mr. Waters will give particular attention to the quality of personal service offered users through branch and field libraries.

The FY 1975 personnel ceiling set for the Library is 170 full-time employees and 20 part-time employees. Current employment stands at 80 professionals, 79 sub-professionals, 29 clericals and three wage board employees.

NAL DATA BASE

Records from the CAIN backfile from its inception through 1971, and the data base of the Food and Nutrition Information Center were added to the CAIN

on-line system in December 1973. More than 500,000 records can now be searched, making agriculture one of the largest files available on-line. Use of the Library's CAIN data base on-line has reached a point where more than 1,000 searches are done nationwide each month. Outside use continues to increase.

A study commissioned by the UK Office of Scientific and Technical Information concluded that CAIN provides good although not complete coverage of the agricultural literature. It contains articles of major importance as well as useful fringe material. The study report continues that for general coverage of the current agricultural literature CAIN appears to be the best available machine-readable data base, but for complete coverage, CAIN must be supplemented by alternative services. Favorable user comments plus substantial and expanding use suggests generally satisfactory experience with CAIN for retrospective searches.

An analysis of languages in the CAIN system was made in early 1974 based on an on-line search of the 1970 through 1973 data base. A total of 464,832 citations was searched. Citations in languages other than English amounted to 41.7 percent. The major foreign languages were German 8.9 percent, Russian 8.6 percent, French 4.9 percent, Japanese 2.6 percent, Italian 2.1 percent, Polish 2.9 percent.

NAL sponsored a series of workshops to help land-grant, cooperating institutions, and USDA field libraries develop expertise in using the CAIN on-line system. The first of these workshops was held in Palo Alto, California, May 9-10, with 18 west coast librarians attending. A second workshop was held June 24-28 at NAL for representatives from Pennsylvania State University, the University of Minnesota, and the University of New Hampshire. A five day workshop was held in the autumn at Texas A&M University Library, College Station, Texas. The workshop included discussion of the CAIN data base content and construction, instruction in on-line searching and actual operation of a terminal.

Research grants for utilization of the CAIN data base on-line were awarded to eight land-grant university libraries. Each grant for $3,500 was used for subscription service fees and communication costs in direct support of CAIN on-line. Terminal, promotion, training, and other costs were assumed by the grantees. Each library investigated a different research project, as follows:

University of Arizona: Compared CAIN on-line searches with manual literature searches of Biological Abstracts, Chemical Abstracts, other printed indexes, and on-line services for the High-Protein Feeds and Foods Research Project of the university. This interdisciplinary research project investigated the use of lumbering and copper mining wastes as a source of high protein livestock feeds.

Auburn University studied the use of CAIN on-line as a source of cataloging data. Comparisons were made with other sources including LC proof slips and original cataloging, and cost/benefit ratios determined.

Colorado State University investigated the suitability of CAIN on-line as contrasted with existing manual searches in support of research on environmental problems such as pesticide persistence, land reclamation, and urban waste management.

University of Minnesota (St. Paul) assessed the on-line data base for citation retrievability in the food science and nutrition aspects of cheese and other fermented dairy products, and evaluated CAIN's vocabulary base and indexing procedures in this subject area. Evaluation will determine the operating efficiency of CAIN on-line in terms of recall and precision relative to the instructional, research, chemical, biological, bacteriological, planning and management areas of cheese and fermented dairy products.

University of New Hampshire determined the effectiveness of the on-line system to locate citations in response to questions from county extension agents and specialists, and determined its effectiveness for graduate students of the university.

North Carolina State University determined the operational effectiveness, precision and coverage of CAIN on-line for the disciplines of agricultural economics, food science, animal science, and botany by testing its use for quick reference, identification of recent citations, and compilation of bibliographies including updates on earlier works.

Pennsylvania State University assessed the effect of CAIN on-line on research proposals of the Pennsylvania Agricultural Experiment Station; compared the on-line searches with conventional methods in support of doctoral dissertations; and compared CAIN coverage of soil fungi of the genus Fusarium with that available in the Fusarium Research Center.

Washington State University determined the cost/benefit ratios of the standard teletype terminal operating at ten characters per second and the CRT/printer terminals operating at 30 characters per second.

Grant assistance given by NAL for demonstration of the CAIN on-line data base has had interesting results. The College of Agriculture and Life Sciences of the University of Wisconsin now requires that each new and revised application for Hatch, Regional, and McIntire-Stennis funds be accompanied by a computer printout of a literature retrieval utilizing the computerized bibliographic data service of the Steenback Library. This is the first college, to our knowledge, to put this requirement in its proposal submissions.

The data base of the Food and Nutrition Information and Educational

Materials Center (FNIC) at the Library was made accessible this year through the DIALOG System of Lockheed Information Systems and the Bibliographic Search Service of System Development Corporation. The FNIC backfile of 2,366 entries has been merged with the CAIN tape, programmed so that searching can be conducted in combination with the NAL data base or the the FNIC data base can be searched exclusively. FNIC abstracts are also searchable. Updates to the CAIN/FNIC file, representing new materials added to the FNIC collection, are made monthly.

Meetings have also been held with representatives of Economic Research Service, USDA and the American Agricultural Economics Documentation Center on including the latter's bibliography as an integral part of the CAIN data base.

OTHER DATA BASES

NAL is participating with federal and other research libraries in adding titles to the Ohio College Library Center data bank. An OCLC terminal has been installed at NAL and is fully operational. This system seems to offer the best promise of an automated national cataloging program and could substantially reduce our cataloging costs.

On-line access to all data bases available through Lockheed Information Systems is now available to NAL users. These include INSPEC (Science Abstracts), the National Technical Information Service file, Educational Resources Information Center files; PANDEX/TRASDEX Current Index to Scientific and Technical literature; Psychological Abstracts, COMPENDEX (Engineering Index); and Chemical Abstracts. Arrangements were also made with the National Library of Medicine to obtain access to their TOXLINE.

OTHER AUTOMATION ACTIVITIES

We continue to progress in the use of "intelligent" computer terminals to input and revise records in our data bases. A Sanders 8100 data input system with CRT terminals is being utilized to load records directly into the CAIN data base. NAL is now publishing its serial titles records on computer-output-microform (COM). We have been actively building a machine-readable serials data base for the past two years. These records have been available by computer printouts. As the volume of data has increased the quantity of paper printout has grown to unmanageable proportions. Recently, we determined that our serials titles records contained sufficient information to merit distribution to other agricultural libraries. Paper printouts are too bulky and the COM method seems most practical. "COM sets" of serial records by title have been distributed to land-grant universities and major USDA field libraries. COM sets and microfiche reader machines are also available at NAL.

A new step in the Library's program to mechanize its serial records is represented by the first cumulative computerized listing of all journal issues sent to the Library since January 1974 by Swets and Zeitlinger, one

of our commercial journal subscription agents. These listings, arranged by title, will be continuously cumulated and provided on a monthly basis until a full year's cumulation is obtained. This will enable the Library to distribute information on journals currently received to frequent users of its services and reduce, to a limited extent, staff time required to respond to queries concerning journal status reports. The listing also notifies the user that an active attempt is being made to recover due issues that were not received by the Library.

NETWORKS

Since July 1973 land-grant libraries on 11 campuses in ten states have agreed to serve as initial contact points and suppliers of documents to USDA personnel in their states. USDA employees in Alabama, Florida, Georgia, Louisiana, Mississippi, and South Carolina are covered by the land-grant libraries in their states, with regional referral to the University of Georgia library. All unfilled regional requests are referred to NAL by air mail letter or teletype from the regional coordinating library. Texas operates as a regional resource interacting directly with NAL although presently covering only Texas. Arizona, California and Oregon are similarly covered by the land-grant university libraries in those states with regional coordination through the University of California, Davis. On July 1, 1974, USDA employees in Hawaii, North Carolina, and Washington were brought into the plan by agreements with the University of Hawaii, North Carolina State University and Washington State University. The two western states coordinate their referrals through the Davis campus, and N.C. State through the University of Georgia.

Operational figures for Jan.-June 1974 and FY-1974 are:

January thru June 1974

	Southern Tier	Western Three	Texas[1]	Service in All States in FY-1974	
Requests Received	5096	1421	2717	17,417	
Requests Completed in the Region	68.1%	76.8%	78.5%	12,519	71.9%
Requests Searched and/or verified	30%	11.3%	33%	5,119	29.4%
No. of Photocopy Exposures	25,862	7814	18,006	104,250	
Cost per Transaction					
Per Requests Received	$1.93	$3.61	$2.75	$2.50	
Per Requests Completed	2.83	4.70	3.50	3.48	
Requests Filled within					
3 Days of Receipt	NA	72.7%	59.4%	NA	
4 Days of Receipt		84.4%	75.5%		

[1]Texas was included in the Southern Tier for the first six months of FY-74

Costs include a verification fee, the usual photocopy charges, referral service, mail and communications as paid by negotiated agreements with each institution. The percentage filled within three or four days is based on a three week transaction tabulation each quarter at each participating library. The National Agricultural Library is pleased with the ready response of the land-grant libraries and librarians in providing this service on such a swift and economical basis.

Discussions were held early this year with representatives of the land-grant university libraries on the retention of land-grant agricultural publications as national resource copies. Near perfect copies in the original format or microfilm copies will constitute compliance with the national resource designation. Memoranda of agreements have been signed with 44 land-grant university libraries.

The idea of a cooperative program for microfilming state land-grant serials was revived at the Agricultural and Biological Sciences Section meeting, ALA midwinter meeting, January 21. Microfilming of documents was proposed as an adjunct to our memorandum of understanding on retention of national resource copies. A variation in the memorandum accepts near perfect copies in the original format or microfilm copies as compliance with the national resource designation.

Agreement has been reached with the organization of the New England land-grant university libraries to microfilm serial files of colleges of agriculture, experiment stations, and extension services from inception of the publication through 1969. NAL obligated $15,000 for this project. Each land-grant library obligated $2,500 and assumes the responsibility of getting their publications in good order and providing bibliographic data to the contractor during the filming.

NAL participation in the implementation of AGRINDEX has continued. AGRINDEX is envisioned by the Food and Agriculture Organization of the United Nations (FAO) as a current awareness tool. A file containing data on approximately 500 citations ready for input into the AGRIS system was forwarded to Vienna in November. This initial effort, although fulfilling our current obligation, does not represent the most ideal format for the data. We should receive prior to our next submission programs for the International Nuclear Information Center (INIS) which will allow us to generate the AGRIS file utilizing the INIS data format.

Participation in AGRINDEX means a heavy investment by NAL of resources for different tape formats, methods of literature coverage, and altered internal procedures. NAL is seeking to avoid any degradation of its current products and services, so implementation will be carried on this first year in a manner which allows for the parallel operation of the NAL system until such time as AGRIS has demonstrated its ability to obtain and publish indexing records in the same volume and with the same speed as NAL. Therefore, the CAIN tapes will be issued, as in the past, with the same coverage for 1975. NAL will reassess the situation late in that year.

OTHER COOPERATIVE ACTIVITIES

FIFL 1974

As one of the supporting agencies, the Library participated in the 3rd Federal Interagency Field Librarians workshop held this year in Arlington, Va. Attendance at the workshop was drawn from agency field libraries of the Departments of Commerce; Interior; Housing & Urban Development; Health, Education & Welfare; and Agriculture.

US - USSR Secretariat

We are working closely with the US-USSR Secretariat recently established in the Foreign Agricultural Service, USDA to support the Agreement on "Cooperation in the Field of Agriculture (June 19, 1973)". We have provided the Secretariat with computer-produced lists of Russian serials received by NAL, as well as a special list of publications available on exchange from the USDA. The Secretariat will recommend additional Russian serials for acquisition and will handle our requests for new publications on an exchange basis from institutions in the USSR.

Nursery and Seed Trade Catalog Collection

Exploitation of this collection was discussed with representatives from various US Department of Agriculture agencies (Agricultural Marketing Service, Agricultural Research Service, Soil Conservation Service, and Forest Service) in March. All representatives attending are involved in providing information on some aspect of seeds and plant materials. The consensus of the group indicates correlation of activities and services to the public. In August, a delegation from NAL met at Winterthur Museum, Winterthur, Delaware with representatives of horticultural and botannical libraries to discuss the feasibility of compiling a union checklist of horticultural catalogs. NAL has agreed to assume the leadership of this project, in as much as we have the largest extant collection of nursery, seed trade, and other horticultural catalogs, the computer hardware, and other expertise.

Grants

A grant for $2,800 was awarded Rutgers-The State University, Graduate School of Library Services, New Brunswick, N.J. for a study on the academic library relationship and the process of the institutional self-study. The study will determine the relationship, adverse or positive, established between the libraries and the faculties of the 1890 land-grant institutions, as a result of institutional self-study programs required every six years for the accreditation process in institutions of higher education in the southern United States.

A grant of $15,250 was awarded to Prairie View University to test the feasibility of creating research and information services appropriate to the needs of outreach and educational programs in the South. Bibliographic and

research literature will be identified, and in some cases collected, as it applies to minority ethnic groups of poor and aged of the rural populations in the southern states.

A grant of $8,161 was made through North Carolina A & T College to support seminars sponsored by a consortium of 1890 land-grant university libraries.

OTHER HIGHLIGHTS

Agency Field Libraries Survey

A research contract was awarded to Capitol Systems Group, Inc., to survey services provided by the National Agricultural Library and the USDA Agency field libraries. Emphasis was placed on the identification of library service needs of ARS and FS personnel in the field and the organizational structure for the delivery of these services. Representatives from 16 agency field libraries met at the National Agricultural Library on October 18 to review and discuss the recommendations made by Capital Systems Group in their report Summary of Major Observations, Conclusions, and Recommendations resulting from a Study of the Delivery and Information Services to USDA Research Personnel in the Field.

Bee Culture Collection

The Collection, with the exception of specific titles retained as working tools by the Bio-Environmental Bee Laboratory, has been moved from its old location at the Agricultural Research Center East to NAL. The annotated Beekeeping Bibliography, consisting of over 85,000 cards maintained by the staff of the Bee Laboratory and its librarian, will be retained by the Laboratory.

National Arboretum Library

A Memorandum of Agreement between NAL and the National Arboretum Library in force since August 1973 provides for professional library services to the Arboretum Staff. The research library at the Arboretum has proven after 18 months of cooperative effort, to be an effective information resource. Under the Agreement, the Arboretum provides space, furnishings, and equipment; NAL supplies books, periodical binding services, back-up reference and lending services and has detailed a professional librarian to the Arboretum library.

Food and Nutrition Information and Educational Materials Center

Target audience contacts constituted the major thrust of activity in the Food and Nutrition Information Center during 1974. Almost 9,000 persons were reached through presentations on the Center, tour group visits, conferences, and the FNIC exhibit displayed at various conventions, both national and state.

The Center's lending program increased to 34,100 individual pieces loaned in this first year of operation. Two catalogs of the Center's collection have been distributed, and input for a third one total 1,846 approved records to date. The data base now contains 4,731 total records.

PUBLICATIONS

A completely revised edition of The National Agricultural Library, a guide to services was published July 1974 and has been widely distributed among USDA employees and other users of the Library.

Supplement 1 of the Food and Nutrition Information and Educational Materials Center Catalog was issued also in July.

The newest issuance in the Library List series is Heritage of American Agriculture, a bibliography of pre-1860 imprints (Library List 98). This publication carries a 1975 imprint date and will be released early in January in honor of the Bicentennial.

NAL plans to issue a newsletter, Agricultural Libraries Information Notes, as a means of efficient, effective communication between NAL and libraries at land-grant universities, workers at experiment stations and extension services, and others in the Agricultural Sciences Information Network. This newsletter will be monthly; the target date for the first issue is January 1975.

Macmillan Publishing Company notified NAL in early November that it had decided to discontinue publishing the Bibliography of Agriculture. The company will publish the Bibliography through the December 1974 issue and also intends to publish the annual cumulative indexes for 1974. The Bibliography of Agriculture is produced from magnetic tapes created monthly by NAL in the process of generating its CAIN (Cataloging and Indexing) data base and making that data base widely available. Since the Bibliography of Agriculture is the major publication produced from the CAIN data base, its discontinuance is a matter of great concern. We are exploring a number of alternatives for the continued dissemination of the data base in published form. Among the possibilities are publication by another commercial firm, by an agency of the government or by an international group.

ASSOCIATES NAL, INC.

The Associates NAL, Inc., a nonprofit, nongovernment friends of the library group, presented awards to three people for outstanding contributions to agriculture and librarianship at their fourth annual meeting June 7. The awardees were Mrs. Ruth D. Lindley, editor for Rowman and Littlefield, Totowa, N.J., publisher of the printed catalogs of the National Agricultural Library; Mrs. Mary Ruth Brown, Associate Director for Operations, University of Kentucky System of Libraries, and Mr. Robert B. Jones, Legislative Reference Specialist, Office of Management and Finance, USDA. The awards, in the amount of $100 each were made possible through the generosity of the Thoroughbred Owners and Breeders Association, Thoroughbred Record Publishing Co., and Brown and Williamson Tobacco Co.

In observance of the Bicentennial, The Associates NAL, Inc., are developing a Symposium on American Agricultural Literature. The Symposium is scheduled for September 24-26, 1975.

The American Poultry Historical Association deposited five new portraits in the Poultry Hall of Fame housed at the National Agricultural Library. The 1974 honorees are: Dr. Hugh D. Brandon, Dr. John C. Huttar, William V. Pringle, Dr. Harold M. Scott, and Dr. Alden R. Winter.

CONCLUSION

Continued close cooperation with the entire agricultural community is a major objective. The application of automated techniques to traditional library routines will permit greater time and attention to be spent on more personalized service to the user. The role of NAL as a clearinghouse for agricultural information becomes more certain as access, through computer technology, to varied sources of information grows. Strong emphasis has always been placed on the educational role of the Library. This role will continue to grow as we attempt to make known to the entire agricultural community the resources and services of the National Agricultural Library.

Richard A. Farley

December 13, 1974

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APPENDIX T

REPORT OF THE NATIONAL LIBRARY OF MEDICINE

NLM's Lister Hill Center, in cooperation with the Health Services Administration, has installed special two-way television equipment in health clinics in several remote Alaska villages to explore the benefits of "telemedicine." The new network uses NASA's ATS-6 satellite, orbited in May 1974, to allow centrally located physicians to examine patients presented to them by health aides in the villages.

A foreign MEDLARS workshop was held in Cologne, Germany on June 10-12, 1974. The host for this workshop was the Deutsche Institut fur Medizinishe Dokumentation und Information (DIMDI). Representatives of foreign MEDLARS Centers from the United Kingdom, France, Sweden, Germany, World Health Organization, Australia, and Canada attended. Other countries which receive services from the MEDLARS Center were also represented, including Denmark, Norway, Finland, Belgium, the Netherlands, Switzerland, and Austria.

The bilateral agreements between NLM and eight foreign MEDLARS/MEDLINE Centers were successfully renegotiated in 1974. Over the years these arrangements have proved mutually beneficial: the Library receives indexing input for MEDLARS/MEDLINE, and the foreign Centers receive computer tapes and on-line access to the data bases.

The Extramural Programs of the National Library of Medicine operated in fiscal year 1974 under a one-year extension of the Medical Library Assistance Act. These authorities have been extended for two additional years, through June 30, 1976, by H.R. 11385, which was signed into law (Public Law 93-353, Title II) on July 23, 1974. Under the Act, NLM provides assistance to the Nation's health science libraries in the areas of training, research, resources, special scientific projects, Regional Medical Libraries, and publications.

A program of grant support was begun to aid training activities that promote the integration of computer technology into all phases of clinical medicine--teaching, practice, and research.

NLM and the National Cancer Institute have signed an interagency agreement to make cancer-related information available on-line over the MEDLINE network. The service is called CANCERLINE.

CHEMLINE, an on-line data base containing nomenclature and structural elements for a collection of 60,000 compounds, was made available in 1974 as an aid to TOXLINE users. In a related development, TOXLINE was moved from a contractor's computer to NLM's IBM 370/158. This move substantially reduced costs to TOXLINE network users.

A new Toxicology Data Bank Review Committee has been organized to provide a peer review capability for the contents of the on-line, interactive Toxicology Data Bank (TDB). The Committee will meet quarterly to review new data being added to the TDB for accuracy and completeness. Thus, all the data being made available to the scientific community through the on-line system will have gone through this review process.

NLM's Technical Services Division now has on-line computer access to monographs and new serials ordered for the collection but not yet cataloged. The new data base, containing about 15,000 bibliographic records, is called INPROC ("in process"). INPROC is accessible only from terminals at the Library, and complements CATLINE, the NLM "Catalog On-Line" data base accessible from MEDLINE terminals in health sciences libraries around the country.

On October 22 and 23, the Library hosted a special conference on the Economics of Biomedical Publications. This conference was an effort on the part of NIH and NLM to encourage a thoughtful examination of the economic issues facing the Federal, private, and commercial biomedical publishing industry. The principal concern of the conference was to consider the continued availability of published information to the user.

As a result of recent balloting by its members, NLM Deputy Director Melvin S. Day will be installed as the new President-Elect of the American Society for Information Science (ASIS) at its October meeting in Atlanta. Mr. Day will become President of the Society at the October 1975 annual meeting in Boston. Mr. Day will succeed Dale B. Baker, Director of Chemical Abstracts Service.

Robert M. Bird, M.D., formerly Dean of the University of Oklahoma School of Medicine, has been named Director of NLM's Lister Hill National Center for Biomedical Communications. The appointment, announced by NLM Director Martin M. Cummings, M.D., became effective December 22, 1974.

On December 17 the U.S. Supreme Court listened to arguments on the copyright case, Williams & Wilkins versus the United States. The Supreme Court has taken the case under advisement, with a ruling expected by June.

NLM's second generation MEDLARS System was successfully installed. Implementation of MEDLARS II will occur early in 1975.

Martin M. Cummings

December 30, 1974

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APPENDIX U

Vol. 34, No. 2 January 10, 1975

SEMIANNUAL REPORT ON DEVELOPMENTS AT THE LIBRARY OF CONGRESS JANUARY 1975

LEGISLATION RELATING TO THE LIBRARY OF CONGRESS

LC Appropriations

Public Law 93-371, approved August 13, 1974, appropriated $96,696,000 for the Library of Congress for fiscal 1975, an increase of more than $14 million over fiscal 1974.

This included $48,460,000 for salaries and expenses for the Office of the Librarian, the Law Library, and the Administrative, Processing, and Reference Departments as well as $2,778,000 for reimbursement to the General Services Administration for the rental of space.

For the Copyright Office, an appropriation of $5,839,000 for salaries and expenses was made.

An appropriation of $13,345,000 was made to the Congressional Research Service, and $10,581,000 was provided for the operation of the Catalog Card Distribution Services.

For books for the general collections, $1,458,000 was made available and $229,000 was appropriated for books for the Law Library.

The national program for books for the blind and physically handicapped received an appropriation of $11,416,900.

The Special Foreign Currency Program received an appropriation of $2,014,000 of which $1,718,500 was U.S.-owned foreign currency.

Under the appropriation for furniture and furnishings, an appropriation of $3,319,000 was made of which $2,726,000 was for the purchase of furnitures, book stacks, and other shelving for the Library of Congress James Madison Memorial Building.

Public Documents Commission

Title II of Public Law 93-526 approved on December 19, 1974, the Presidential Recordings and Materials Preservation Act, provides for the creation of a Public Documents Commission. This Commission is to study problems and questions with respect to control, disposition, and preservation of records and documents of Federal officials. The study is required to include consideration of (1) whether the historical practice with respect to Presidential records and documents should be rejected or accepted, and whether such practice should be made applicable with respect to all Federal officials; (2) the relationship of findings of the commission to the depository library program and the statutes relating to archival administration; (3) whether the findings of the Commission should affect control, disposition, and preservation of records and documents of agencies within the Executive Office of the President created for short-term purposes; (4) the recordkeeping procedures of the White House Office; (5) rules which should apply to control, disposition, and preservation of records and documents of Presidential task forces, commissions, and boards; (6) criteria for determining the scope of materials which should be considered the records and documents of Members of the Congress; (7) the privacy interests of individuals who communicate with Federal officials; and (8) any other problems which the Commission considers relevant to carrying out its duties.

The Commission shall be composed of the following 17 members: (1) one Member of the House of Representatives appointed by the Speaker of the House upon recommendation by the majority leader; (2) one such Member appointed by the Speaker upon recommendation by the minority leader; (3) one Member of the Senate appointed by the President pro tempore of the Senate upon recommendation by the majority leader of the Senate; (4) one such Member appointed by the President pro tempore upon recommendation by the minority leader; (5) one Justice of the Supreme Court, appointed by the Chief Justice of the United States; (6) one person employed by the Executive Office of the President or the White House Office, appointed by the President; (7) three appointed by the President (no more than two of which may be of the same political party), by and with the advice and consent of the Senate, from persons who are not officers or employees of any government and who are qualified to serve on the Commission by virtue of their education, training, or experience; (8) one representative of the Department of State, appointed by the Secretary of State; (9) one representative of the Department of Defense, appointed by the Secretary of Defense; (10) one representative of

the Department of Justice, appointed by the Attorney General; (11) the Administrator of General Services or his delegate; (12) the Librarian of Congress; (13) one member of the American Historical Association, appointed by the counsel of such Association; (14) one member of the Society of American Archivists, appointed by such Society; and (15) one member of the Organization of American Historians, appointed by such Organization.

The Commission's report is due to be submitted to the President and to each House of the Congress by March 31, 1976. The Commission shall cease to exist 60 days after transmitting the report.

American Folklife Center

Hearings on bills to establish an American Folklife Center in the Library of Congress were held in May by the Senate Committee on Rules and Administration and the Committee on House Administration. H.R. 17382 was reported by the House Committee on December 9. The bill was brought up on the House floor on the suspense calendar in the last days of the 93rd Congress, but failed to receive the two-thirds vote necessary for passage.

National Historical Publications and Records Commission

The President on December 22 signed H.R. 15818 (P.L. 93-536), an Act to strengthen and enlarge the scope of the activities of the National Historical Publications Commission so as to enable it to undertake projects relating to the collection and preservation of historical records of the United States, including those of State and local governments. The Act designates the name of the National Historical Publications Commission as the National Historical Publications and Records Commission, increases the membership on the board, increases the annual appropriation authorization from $2,000,000 to $4,000,000, and extends the authorization for two years.

Copyright Legislation

The bill for general revision of copyright law, which has been pending in Congress for more than a decade, made significant progress during the second half of 1974. The bill had been introduced in the 93rd Congress by Senator John L. McClellan at the beginning of 1973 (S. 1361), and had begun to regain legislative momentum by the spring of 1974. On July 3, 1974, the full Senate Judiciary Committee reported the bill favorably with a number of amendments and a 228-page report (Rept. No. 93-983), including additional and minority views. In an unusual move, the Senate referred the bill for fifteen days to the Committee on Commerce which, on July 29, 1974, also reported it with further amendments dealing primarily with radio and television communications. Like the Judiciary Committee's report, the 82-page report from the Commerce Committee (S. Rept. No. 93-1035) included minority and additional views.

The Senate debates on the revision bill began on September 6, and ended with a favorable vote on September 9, 1974. The most controversial provision proved to be section 114, which would have created rights, subject to compulsory licensing, with respect to the public performance (including broadcasting) of copyrighted sound recordings. The Senate deleted this provision from the bill entirely and adopted a number of amendments, the bulk of which also involved performing rights in one way or another. The Senate vote for the revision bill was overwhelming: 70 yeas to one nay. During the debate Senator McClellan accurately predicted that the House of Representatives would not have time enough to act on the omnibus bill in the remaining weeks of the 93rd Congress, but added: "I anticipate that the bill passed by the Senate will be reintroduced at the start of the 94th Congress, and it should be then processed expeditiously. Our goal should be enactment of a new copyright statute by the end of 1975."

The prospects for general revision of the copyright law thus seem brighter than they have at any time since the House of Representatives passed an earlier version of the bill in 1967. The bill will need to be reintroduced in both Houses in the 94th Congress, and it is anticipated that hearings will be held before the House Judiciary Subcommittee early in 1975. Controversies remain over cable television, library photocopying, educational uses of copyrighted works, and various provisions dealing with performing and recording rights. Nevertheless, the areas of agreement far exceed those of disagreement, and the bulk of the bill has remained almost entirely unchanged since 1967. Fundamental provisions such as the establishment of a single federal copyright system, duration based on the life of the author plus 50 years, ownership and transfer of rights, subject matter, and formalities are intact, and they represent the heart of the legislation. The bill also provides, in Title III, for a completely new form of protection of ornamental designs of useful articles, based on copyright principles.

Three matters dealt with in the general revision bill

were considered by Congress as too urgent to await final action on the omnibus legislation. These were made the subject of a separate measure which was passed by both Houses and signed by the President at almost literally the last minute.

The first of these provisions involved federal legislation to combat record and tape piracy. In 1971 Congress amended the present law to offer Federal copyright protection against unauthorized duplication of sound recordings fixed after February 15, 1972. However, this legislation was scheduled to expire on December 31, 1974, and on August 21, 1974 the House Judiciary Subcommittee reported favorably a bill introduced by its chairman, Robert W. Kastenmeier, (H.R. 13364) which would make the amendments permanent and would increase the criminal penalties for piracy and counterfeiting of copyrighted recordings. The bill, as amended, was favorably reported by the full House Judiciary Committee on September 30, 1974 (H. Rept. No. 93-1389), and passed the House of Representatives under suspension of rules, by a two-thirds, non-record vote, on October 7, 1974.

Meanwhile, immediately following Senate passage of the general revision bill, Senator McClellan introduced S. 3976, an interim package consisting of: (1) provisions similar to the Kastenmeier record piracy bill but with somewhat higher criminal penalties; (2) a provision to extend, until December 31, 1976, renewal copyrights otherwise scheduled to expire at the end of 1974; and (3) provisions establishing a National Commission on New Technological Uses of Copyrighted Works. Since all of these provisions were covered in the general revision bill, the Senate passed S. 3976 almost immediately after its introduction on September 9, 1974.

On November 26, 1974, the House Judiciary Subcommittee, under Representative Kastenmeier's chairmanship, held hearings on S. 3976. The only witness was the Register of Copyrights, who was asked to testify on the extension of expiring renewals, the National Commission, and the present status of copyright law revision; no testimony was sought, with respect to the anti-piracy provisions of the bill since the House had already acted favorably upon the subject. The bill was reported by the subcommittee to the full House Judiciary Committee with some amendments on December 10, 1974, and by the full committee on December 12, 1974 (H. Rept. No. 93-1581). On December 19, 1974, the bill passed the House by a vote of 292 to 101, and the bill as amended by the House was accepted by the Senate later the same day, the last day of the 93rd Congress. The legislation was signed by President Ford on December 31, 1974, only a few hours before the record piracy legislation and some 150,000 renewal copyrights were scheduled to expire.

All this successful legislative cliffhanging has had a further regenerative effect upon the general revision program. Specifically the two-year extension of expiring renewals (the ninth in a series going back to 1962) was based on the assumption that the omnibus package—which would give all subsisting copyrights, including those covered by S. 3976, a total term of 75 years—could be enacted into law by the end of 1976. Congressional establishment of the National Commission in advance of general revision also reflects a sense of urgency concerning the unsettled copyright questions within the Commission's mandate.

The legislation creating the National Commission on New Technological Uses of Copyrighted Works is now in effect, though its implementation awaits funding from Congress and the appointment of members. The Commission will be a part of the Library of Congress, with an Executive Director and staff. It is charged with studying the use of copyrighted works by automatic information systems and by reprography, including library photocopying but not including photocopying for classroom use, and to make recommendations for legislation. It will include 12 members appointed by the President (four from authors and publishers, four from copyright users, and four from the public, including one expert in consumer affairs), plus the Librarian of Congress as a voting member and the Register of Copyrights as a non-voting member. An interim report is due within a year of the Commission's first sitting, and its mandate is now scheduled to expire on December 31, 1977.

The fees charged by the Copyright Office for its services are established by statute, and the last amendment increasing the fee schedule was enacted in 1965; the basic registration fee has remained at $6 for ten years. The ratio of income from fees to the Office's operating costs has declined to 43 percent and, at the Librarian's request, bills to remedy this situation were introduced in the Senate by Senator McClellan (S. 3960, September 4, 1974), and in the House of Representatives by Representative Kastenmeier (H.R. 16601, September 11, 1974). The bills would raise the basic registration fee to $10 and the renewal fee to $6, but would leave registrations for unpublished works at $6 and would open the possibility of voluntary registration in unpublished form to all categories of works.

INTERNATIONAL COPYRIGHTS

Responding to an invitation from the chairman of the newly-created All-Union Copyright Agency in the U.S.S.R., the Register of Copyrights headed a delegation of U.S. government officials to Moscow and Leningrad in October 1974. The delegation, which also included the Deputy Register and the General Counsel of the Copyright Office, met with the chairman, deputy chairman, and other officials of the agency (known by its Russian acronym VAAP), over a period of more than one week, and discussed a range of problems, mostly relating to the interpretation of the respective copyright laws of the United States and the Soviet Union. At the end of the discussions it was agreed that VAAP and the Copyright Office would exchange letters expressing understanding of the points discussed. A delegation of six VAAP officials, headed by the chairman, Boris Pankin, visited the United States in December 1974, and met with a number of Copyright Office officials and toured the Office during their three-day stay in Washington. A rough draft of part of the exchange of correspondence was discussed point by point, including: royalties and taxes, reprographic reproduction, publication of works by Soviet authors where the contract authorizing publication was not handled by VAAP, performing rights, retroactivity, notice of copyright, and Soviet treatment of U.S. government publications.

In other international copyright developments, plans are underway to convene subcommittees of the governing bodies of both the Universal and the Berne Copyright Conventions to make recommendations for an international instrument setting forth copyright guidelines with respect to reprographic reproduction (photocopying and other forms of facsimile copying and reprography). The meeting will be held in Washington at the invitation of the United States Government, June 16-21, 1975. The UNESCO General Conference, which met in Paris during October and November 1974, confirmed this program, and also laid plans for meetings to deal with double taxation of authors' royalties and translators' rights.

COPYRIGHT OFFICE

The most significant administrative development in the Copyright Office in 1974 was the installation in the Cataloging Division of an automated, on-line system for the preparation of catalog entries covering all copyright registrations, for the duplication and sorting of all catalog cards, and for the reproduction of copy for all parts of the *Catalog of Copyright Entries*. With the software thoroughly tested, the system became operational in September, first with the cataloging of sound recordings and then with all of the "arts" classes. On October 15 all music cataloging was added to the system (see below).

Among the many legal problems facing the Copyright Office during the last half of 1974, two stand out as the most complex and difficult: whether to make registration for original designs of type faces, and how to resolve the copyright problems involved in photocopying by libraries. The Office received considerable correspondence on the typeface issue and, on November 6, 1974, held the first public hearing in its history on proposals to change its regulations. The question essentially was whether, by amending the prohibition now found in section 202.1 of the regulations, the Copyright Office should open the possibility of registration to type face designers. By notice in the *Federal Register*, the Librarian has extended the deadline for written comments on this extremely difficult question to January 15, 1975.

In July 1974, following discussions at the ALA annual meeting in New York of the copyright issues involved in photocopying by libraries, ALA President Jean Lowrie wrote the Register of Copyrights asking her to take an active role in seeking solutions to this explosive problem. Similar requests had reached the National Commission on Libraries and Information Science (NCLIS). NCLIS and the Copyright Office therefore agreed to pool their resources and try to get the dialogue that had broken off after the Dumbarton Oaks meetings in 1973 started again. On November 16, 1974, they co-sponsored a meeting in Washington which, as planned, led to smaller meetings among selected representatives of the interested groups. Further meetings are planned for early 1975. Meanwhile, the *Williams and Wilkins* appeal was argued before the Supreme Court on December 17, and the next day both Houses of Congress passed legislation creating a National Commission to study the problem. The issue awaits hearings and legislative action in the context of general revision of the copyright law in 1975, and an important intergovernmental meeting on the subject will be held in Washington in June.

LC JAMES MADISON MEMORIAL BUILDING

Although there was less visible progress on the

exterior of the Library's James Madison Memorial Building during the past six months than during the preceding report period, close observers noted the fact that application of the marble on the four sides of the building was complete nearly to the roof line, the cornice work around the penthouse was mostly in place, and the new sidewalks on the south and east sides were largely completed. Although the main columns on the north side were not completed by year's end, those on the east, south, and west sides were, giving these aspects of the building a nearly finished appearance.

It had been hoped that Phase IV of the building would be out to bid by the end of 1974. Unavoidably, however, issuance of the specifications was delayed and it is now expected that these will be issued in late January or early February.

Technical specifications for the compact bookstack installation were completed in December and this procurement should go to bid during February. Meanwhile, the Architect of the Capitol arranged for a mock-up installation of the track system for the compact bookstacks on the basement level of the building. These were completed and ready for inspection and evaluation by Library staff at the end of the year.

Some additions to the office mock-up at the Pickett Street Annex were made during the fall in preparation for evaluation early in 1975.

As the Phase IV drawings neared completion, the work of the Building Planning Office turned increasingly to the development of interior layouts, furniture selection, and related problems. On the basis of new five-year staff projections, during the fall, several revisions of previous office layouts were required.

EQUAL EMPLOYMENT OPPORTUNITY

Affirmative Action

The Library's Affirmative Action Plan for Fiscal Year 1975 was approved by the Librarian of Congress and became effective in July. During the past six months, significant progress has been made toward the achievement of each of the priority objectives and continuing Affirmative Action programs. During this period, the Library also made a significant Affirmative Action change in its Intern Program.

Priority Objective 1: Expand Affirmative Action Training, Appraisal, and Promotion Program (TAP). In an expanded program for fiscal year 1975, the Library committed 50 positions for the Affirmative Action Training Appraisal and Promotion program. This represented an increase of 24 positions above the 26 positions initially allocated to the program in fiscal year 1974 (although 35 selections were actually made last year). Thirty-one selections have been made so far this fiscal year, and the second phase of selections will start on February 15.

Priority Objective 2: Research the Status of Women in the Library of Congress, Communicate the Results of this Research, Develop a Women's Action Plan, and Sponsor a Speakers Program. A Federal Women's Program Committee was organized with representation from each department in the Library under the direction of the Federal Women's Coordinator. The committee has been active in sponsoring two speakers before Library management, Catherine East, Executive Secretary of the Citizen's Advisory Council on the Status of Women, and Daisy Fields, President of Fields Associates and founder and past national president of Federally Employed Women (FEW). In addition, the committee has been engaged in a series of research projects on the status of women at the Library of Congress, the results of which will be released during the second half of the fiscal year.

Priority Objective 3: Evaluate Library Qualifications Requirements for Job Relatedness. This task was divided into a series of sub-tasks for more effective analysis. Sub-task one was defined as "An Analysis of Qualifications Requirements Published in Position Vacancy Announcements Between 1971 and 1974." All of the vacancy postings were analyzed in terms of the amount of education and/or experience required for various jobs and at various grade levels of jobs so as to determine and measure the consistency of the requirements over the past three years. This sub-task is near completion and the results will be released during January.

The second sub-task of this objective was defined as "A Race and Sex Analysis of Personnel Selectees Between 1971 and 1974." This study was based on the same Position Vacancy Announcements studied in Sub-Task One, except the emphasis this time was on the identification of the successful applicants by sex and race. This analysis is expected to be completed during January 1975 and released in February.

Sub-Task Three of the Qualification Study Objective was defined as "A Description and Analysis of the Library of Congress System for Establishing Job Qualifications Requirements." This study purports to answer the question "What is the process by which certain requirements are attached to certain positions?" This Sub-Task requires a series of depth inter-

views with Library officers and supervisors who influence or determine such requirements. This study was launched in November and all interviews in the Law Library and the Processing Department were completed. The target completion date of this Sub-Task is March 15.

The final Sub-Task of the Qualifications Study Objective is still being defined. A plan of analysis and study procedure is scheduled for completion March 1.

Priority Objective 4: Develop a Program to Consider the Special Needs of Spanish-Surnamed Applicants and Employees. The Library initiated its program to increase awareness of needs for opportunities for Spanish-surnamed applicants and employees during this period mainly through contact between the Library of Congress Spanish Coordinator and Spanish Coordinators of other Federal agencies, and through an initial information effort about the Library's Equal Employment Opportunity program directed at Spanish-surnamed employees.

Contact with other Spanish Coordinators was fruitful in terms of discovery of the nature of similar programs at other agencies, how they are operated, problems encountered, and their effectiveness.

A computer printout of all Spanish-surnamed employees was secured and these employees received two memoranda from the Coordinator during this reporting period. The first memorandum in September was on the Equal Employment Opportunity program in general and the Sixteen-Point (Spanish Speaking) Program in particular. The Coordinator's second memorandum of November described how discrimination complaints are processed in the Library of Congress, identified the staff of the Equal Opportunity Office, and reported on progress in the Sixteen-Point (Spanish Speaking) Program throughout the Federal Civil Service.

Priority Objective 5: Research and Analyze Mobility Patterns at the Library of Congress. This study will focus on the career patterns of professional librarians (Job Series 1410) and library technicians (Job Series 1411), by far the largest occupational group in the Library of Congress (approximately 50 percent). Records of all individuals in these series were selected for a model designed to evaluate rate of promotion and factors that seemed to retard or enhance promotion. The rate of promotion was defined as the time required to move from one grade to another (higher grade), and the retardant or enhancement factors used include education, foreign language skills, race, and sex. Time utilized for this project requires extensive manual input of data for computer analysis. It is approximately 24 percent complete. The target date for completion is April 15.

Training, Counseling, Tuition Support Programs

For the first six months of fiscal 1975, $25,900 was expended for tuition for 141 employees in GS-7/GT-7 or below to advance their education or to acquire skills that would enable the employee to compete for higher grade positions within the Library. During the same period, the Library contracted with the United States Department of Agriculture Graduate School to provide instruction for 40 employees to pass the high school (GED) equivalency exam. Four employees passed the exam after the first portion of the instruction in which 32 were participants. The remainder are continuing with the program. One hundred and seventy-nine employees received career development counseling, some including testing. All participants in the Tuition Support Program received career counseling.

Intern Program

The Library conducted a survey of minority students in all accredited schools of library science. This survey was conducted in support of a recommendation that schools be requested to nominate two candidates for the Library of Congress Intern Program instead of one, as has been the rule in the past. In his letter to library schools announcing the Intern Program for 1975, the Librarian stated that "in accordance with the objectives of the Library's Affirmative Action Program, schools are encouraged to include minority group candidates in their nominations for consideration in the Intern Program."

Equal Opportunity Office

The Equal Opportunity Office has continued its effort to secure statistical data relative to minorities in order to further the aims of the Equal Opportunity Program. Included in this assignment is its responsibility for control of minority personnel data in the framework of a positive continuing program.

Department directors are provided with monthly reports on discrimination matters and complaints within their individual areas. One objective is cooperative effort among the EO Office, the Personnel Office, and the departments on the speedy resolution of as many problems as possible.

Review of LCR 2010-3.1, the Equal Opportunity regulation, has been continuous during the second six months of implementation. Suspension of personnel actions relating to complaints under investigation is

being evaluated. Staff input has been invaluable relative to this matter. The objective of the office is to exercise discretion and weigh all factors concerned before requesting suspension of personnel actions. In accordance with requirements of the Fair Labor Standards Amendments of 1974, the LCR will include age as a category for discrimination complaints and steps to overcome barriers to employment in this area are currently under study by the EO Office.

Within the July-December 1974 period, there were 50 matters pertaining to discrimination handled by the EO Office, of which 45, or 90 percent were resolved at the Counselor level. The five remaining matters became formal complaints. Of these, two were resolved by Equal Opportunity Officers and three are pending. There were seven formal investigations conducted by the Equal Opportunity Office, and four hearings were scheduled for a Hearing Examiner.

ACQUISITIONS

National Program for Acquisitions and Cataloging (NPAC)

In order to provide further assistance to the research library community through the National Program for Acquisitions and Cataloging, two special reporting and searching projects have been established on an experimental basis. Selected NPAC participant libraries are reporting U.S. imprints (1974 +) and Chinese and Korean titles (1973 +) that they have actually received but for which they have failed to find LC catalog cards in the depository set. These reports will enable the Library of Congress to follow up in the standard NPAC mode by upgrading cataloging priorities for titles already in hand and by speedily ordering reported titles for demand cataloging.

The NPAC Regional Acquisitions Office in Rio de Janeiro is proceeding with plans to issue its preliminary cataloging for newly acquired Brazilian publications through a published accessions list similar to those now published for South Asia, Southeast Asia, East Africa, and the Middle East. The first list is expected to appear early in 1975.

Net receipts for cataloging from the 24 countries presently covered by NPAC shared cataloging arrangements declined in fiscal 1974 to approximately 87,000 titles from 96,000 in fiscal 1973 and a high of 106,000 titles in fiscal 1972. Net receipts for cataloging during the first five months of fiscal 1975 (July-November), however, appear to be at the same level as fiscal 1972 and fiscal 1973 (approximately 40,000 titles for the five month period) compared with only 35,500 titles received during the same period in fiscal 1974.

Special Foreign Currency Program

In fiscal 1975 for the first time, LC was authorized by the Congress to use non-P.L. 480 excess currencies for the funding of the program for India. Hence, the use of P.L. 480 as a designation for the over-all Program encompassing Egypt, India, Pakistan, and Poland is no longer completely accurate. The term Special Foreign Currency Program is being used instead.

The Middle East Program suffered a temporary setback as the result of a fire in late June 1974 which caused extensive damage to the premises of the Library's Cairo office. Working out of space lent by the U.S. Embassy, the Cairo staff was able to continue acquiring and distributing publications with only minor interruption; publication of the *Accessions List* was somewhat delayed. Rehabilitation of the office was virtually complete by the end of November and operations are back to normal.

Acting on recommendations made by the Association of Research Libraries' Committee on the Middle East, the Library revised the list of Middle East program participants. Four former participants were dropped and five new institutions added.

Six participants are to be added to the South Asia Program this month, for a new total of 25, following the 1973 restructuring of the program which allows participants to receive either comprehensive or basic sets in the languages of their choice. The restructuring resulted in a significant reduction of costs and made possible participation on a greatly reduced scale. The New Delhi office is presently engaged in a review of the English-language program and expects to give participants the option of selecting serials from a basic list. This plan has already been put into effect by the Karachi office and is working well.

Exchange and Gift Division Activities

The Government Printing Office has announced another increase in the subscription price for the *Monthly Checklist of State Publications.* Effective immediately, subscriptions will cost $21.90 per year, $5.50 additional for foreign mailing. Single monthly issues will be sold for $1.50, except the June and December issues, which will cost $2.45 each, and the *Index*, which will sell for $2.10. The price changes will be noted in the January 1975 issues of the *Checklist.*

State documents receipts from July through

November 1974 numbered 49,864 pieces, an increase of 8,251 pieces over last year's total for these months. To cope with the steady increase in gross receipts and in the workload of the *Checklist*, a fifth bibliographer position has recently been added to the State Documents Section's staff. The new staff member is a successful candidate of the Training/Appraisal/Promotion Program (TAP).

Non-GPO Imprints Received in the Library of Congress in 1973 was published in the summer of 1974. It includes 131 serials and 336 monographic titles, and may be purchased from the Card Division for $1.25.

Receipts of Federal documents from the Government Printing Office and the individual agencies show a decline from last year's July-November totals. There has been a decrease of 24 percent in the number of publications received from GPO, and a 15 percent decrease from individual agencies. It is too early to determine whether this is a temporary fluctuation or an indication of a general trend. Receipts continue to arrive under the provisions of the Federal Advisory Committee Act; to date, 182 charters and 104 reports have been received. Activities of the Documents Expediting Project are being sustained at the high levels reached last year.

Order Division Activities

Blanket order arrangements throughout the world continued to be monitored and refined to secure comprehensive coverage of significant new publications. Specifications for both the general and law blanket orders were translated into Spanish, French, and Arabic to promote improved understanding of the terms and conditions. Receipts from individual blanket order dealers in Latin America increased. The Assistant Chief of the Order Division completed the compilation of a "Third World Book Dealer List" for the Resources Section of ALA's Resources and Technical Services Division.

A literature and book dealer survey of trends in book production and book prices was initiated to secure data on volume and costs of publications throughout the world. This information was supplemented by personal interviews with book dealers by the Assistant Chief during her visit to Hong Kong, Taiwan, and Thailand, and during visits to the Order Division by dealers' representatives from Canada, France, Germany, the Netherlands, the Philippines, and Taiwan. The costs of serial and periodical subscriptions continue to climb. The cost of the majority of subscription orders for Italy alone rose 30 percent this year. The procedures for processing sample serial issues submitted by the Library's overseas offices were revised to insure more prompt notification of decisions as to whether or not to subscribe.

Library of Congress Interns that opted to spend extra time in the Order Division during their training period in the Processing Department were most helpful in assisting in the compilation of a card file index to sales of manuscript, autograph, and related materials of 20th century writers, scientists, and other public figures, and in completing charts and graphs of statistics of past and projected future receipts of materials purchased for the Library's collections.

CATALOGING

Although cataloging production figures for this period indicate a decline from the same period of the previous fiscal year, the percentage of decline has been decreasing.

On September 3, descriptive catalogers began to apply the revised rules for the description of monographs, chapter 6, of the *Anglo-American Cataloging Rules* (AACR) incorporating the provisions of the *International Standard Bibliographic Description for Monographic Publications* (ISBD(M)). These revised rules are being applied totally to printed card, monographic cataloging (except, chiefly, revised reprints and titles published prior to 1821) for which full original cataloging is done, and at least partially to descriptions derived from national bibliographies. In an effort to attain maximum consistency of interpretation, the Principal Descriptive Cataloger's staff provided special guidance to the catalogers until they assimilated the revised rules.

Cataloging in Publication

The Cataloging in Publication program encompasses an ever increasing number of publishers. In calendar 1974, some 340 firms joined the program, bringing the total participants to 860, including several Federal agencies, and the annual production to nearly 18,000 titles. From the program's inception in July 1971, publishers have submitted more than 45,000 titles.

Cataloging Rules Development

During the fall, cataloging rules development work has been concentrated principally on reviews of the drafts of the rules for cataloging audiovisual mate-

rials, with special consideration directed to the comments from specialists in the field. At the same time, attention has been devoted to the further development of policies and procedures for the cataloging of these materials by Library of Congress staff.

In addition, the authors of the AACR have reached agreement on a series of revisions proposed by the British Library Association. These revisions include, principally, AACR 11 (published in *Cataloging Service*, Bulletin 111, Fall 1974) and AACR 3, 4, and 5 (published in *Cataloging Service*, Bulletin 112, Winter 1975).

Excellent progress was also made, in cooperation with a subcommittee of the Committee on Research Materials on Southeast Asia, on rules for the entry of Khmer and Lao names; on romanization tables for Khmer, Lao, and Pali; and on word division for Southeast Asian lanugages. Work on the romanization of Ottoman Turkish also progressed significantly.

Subject Headings

The MARC Development Office has completed production of the tape for the eighth edition of *Library of Congress Subject Headings*. Sizeable operations involved in the final printing and binding of this two-volume work make it unlikely that it will be available before mid-1975. The delay has made it possible, however, to incorporate into this edition all subject heading development through 1973, instead of 1972, as previously announced.

LC Classification

The fourth edition of Class A, Generalia, has been published and can now be purchased from the Card Division for $5 a copy. New editions of Classes U, Military Science, and V, Naval Science, are at the Government Printing Office; Class C, Auxiliary Sciences of History, is undergoing editorial revision in preparation for a new edition; and Classes G, Geography/Anthropology/Recreation, and H, Social Sciences, are being revised but will require considerable work before publication. Publication of a revised PN-PZ schedule has been temporarily shelved since the major revision in subclass PR, English Literature, was published in *Additions and Changes*, Nos. 169 and 171. A third edition of the *Outline of the Library of Congress Classification* has been prepared and is in the revision stages.

In law classification development, Class KD, Law of the United Kingdom and Ireland, has been published; Class KE, Law of Canada, is being developed in cooperation with the National Library of Canada which is represented at the Library of Congress by Ann Ray, a cataloger from the National Library staff; and work continues on the development of Class K, General Law, and KKC, Law of Germany.

Decimal Classification Activities

Planning and development of the 19th edition of the *Dewey Decimal Classification*, due in 1977 or later, continued during this period. The Decimal Classification Editorial Policy Committee met at the Library in November and recommended that the following sections receive major revision in the 19th edition: sociology, political parties, area notations for the British Isles, a complex of changes in the 900's dealing primarily with the treatment of civilization, and possibly music. Other sections previously proposed for major revision in the 19th edition—a totally new development for the life sciences, for example—presumably will be postponed until the 20th edition. The committee recommended that all other parts of the 19th edition should be routinely updated and expanded as necessary.

The classification activities of the division were at an all-time high with almost 50,000 titles classified during the July-December period. Nearly all titles cataloged by the Library in English and French as well as a selection of those in other western languages were classified. With the stimulus of continuing studies demonstrating the importance and usefulness of Dewey as a medium for searching machine-readable bibliographic records, the Library announced that it was its intention, subject to Congressional appropriations and space considerations, to expand Dewey coverage in the years ahead to include all titles in the MARC program.

Close coordination continued with the *British National Bibliography*, the *Australian National Bibliography*, and *Canadiana*, with the objective of achieving as high a degree of agreement in classification as may be possible.

MARC Editorial Division

On October 17, the MARC Editorial Division verified its 500,000th bibliographic record. These records cover both monographic and audiovisual materials. During the past six months, the division has been recruiting and training additional staff in preparation for expanding the MARC program to include German, Portuguese, and Spanish language monographs. Input will begin with 1975 imprints but will eventually be expanded to cover all current cataloging in these languages.

SERIALS

Serials Cataloging

The Library of Congress, under its responsibility to both the American library community and to the International Serials Data System (ISDS), is continuing its effort to resolve differences between current serial cataloging practices and ISDS requirements. In addition, there are certain problems that arise when converting serial entries into machine-readable form. Rule interpretations that have been issued to LC catalogers to assist in answering these two needs were published in *Cataloging Service*, Bulletin 112, Winter 1975.

CONSER

Work continued on LC's participation in the CONSER (CONversion of SERials) project. Supported and managed by the Council on Library Resources, this effort has for its goal the development of a large-scale machine-readable data base for serials through the contributions of several institutions entering and sharing bibliographic data via the Ohio College Library Center (OCLC) system. To this end, two OCLC terminals and printers were installed and are being used in a training mode in anticipation of the beginning of the project early in 1975. Library of Congress participation in CONSER, other than ISSN (International Standard Serials Number) and Key Title assignment and validation done by the National Serials Data Program, will consist of: (1) inputting of records for all new cataloging, (2) authentication of all non-Canadian names in the data base, and (3) authentication of the complete cataloging record if previously cataloged by the Library of Congress.

National Serials Data Program

The National Serials Data Program (NSDP), in addition to continuing its systematic registration of U.S. serial publications through the assignment of the International Standard Serial Number has been involved in other areas of serial control as well. Working closely with the Serial Record Division and the MARC Development Office, the NSDP has been instrumental in the planning and development work preliminary to the initiation of the CONSER Project. The NSDP will be interacting with this project by retrieving and working with the data contributed by the CONSER participants. NSDP staff have been responsible for much of the work on the editing manual to be used by participants in this project and have contributed in large measure to the determination of data element specifications, system processing, and system output requirements.

In November, just before the International Federation of Library Associations (IFLA) Conference, the NSDP sponsored the first meeting of the National and Regional Center Directors of the International Serials Data System (ISDS). The ISDS is the first operating element in the UNESCO/UNISIST Programme, a plan for development of international cooperation in the exchange of information. The NSDP serves as the United States representative to the ISDS. In addition to the International Center in Paris, centers are designated in the following countries: Canada, Australia, the United Kingdom, France, the Federal Republic of Germany, Argentina, Japan, Sweden, Finland, and the Soviet Union acting for the COMECON (Council for Mutual Economic Assistance) countries. Although only the first three countries mentioned have operational centers, all of these centers (and others as they are established) will be responsible for the registration of serials published within their countries. The International Center is responsible for providing ISSN for serials not covered by operational centers.

The NSDP has received a grant from the National Science Foundation for a two-year project for the development of a large core data base of serials in science and technology, according to the ISDS requirements, and intended to be of use to the abstracting and indexing community as well as the library world. Work on this project has been delayed with the concurrence of the National Science Foundation until initiation of the CONSER Project which will provide the systems capability of the OCLC system to the project.

CARD DISTRIBUTION SERVICES

Volume of Orders Received

Orders for catalog cards in the current fiscal year are running nine percent less than at the comparable time in fiscal year 1974, 17 percent less than in fiscal year 1973, and 28 percent less than in fiscal year 1972. In fiscal year 1974, the sales of cards comprised about 38.9 percent of total sales, while "non-card" items such as MARC tapes, book catalogs, technical publications and proofsheets comprised the larger volume of 61.1 percent.

Reduction in Force

A second reduction in staff was made necessary in December 1974 because of the reduced workload

resulting from fewer orders by the library community for sets of catalog cards. In this reduction, as in the earlier one in February 1974, all staff members whose positions were to be abolished were offered other positions in the Library. By June 30, 1975, it is estimated that the Card Division will be operating with a budgeted staff of 252, down considerably from its plateau of several years ago of 423 authorized positions.

This in no way implies that the Library will neglect the direct sale of individually ordered catalog card sets to libraries. On the contrary, the Library will continue to sell individual sets of catalog cards to anyone or any organization wishing to buy them, and manpower and funding for this service will be kept as high as the volume of individual card orders will support.

Price Increases

For the first time since 1969, the price charged for sets of catalog cards was raised, from 35 cents for a set of eight cards to 45 cents if the Library of Congress card number is given. The searching charge, when cards are ordered by author and title, was raised from 40 cents to 60 cents. The rapidly escalating costs of the four "P's"—personnel, paper, printing, and postage—necessitated this increase in card prices, effective January 1.

Those same four factors combined to bring about an increase in the price of two of the major publications distributed by the Card Division, the *National Union Catalog* and *Books: Subjects.* The price of the former in 1975 will be $1,025; the price of the latter, $800. As with the price of cards, the subscription price for the book catalogs must be determined in accordance with the 1902 statute upon which the distribution price of LC cataloging is based. Costs of printing and distribution, plus a factor of 10 percent, must be computed in establishing selling prices for all items sold by the Card Division.

Bibliographic Services—MARC

Using statistics based on the first four months of fiscal year 1975, the Card Division will be providing approximately 67 subscribers by June 30 with MARC data for about 127,000 titles per year—English, French, German, Spanish, and Portuguese titles cataloged by the Library and also titles for films and other materials for projection which have been cataloged, as well as titles for maps. The subscribers to these tapes include commercial firms, the principal cooperative processing centers in the United States, government, research, public and university libraries in the United States, and libraries or other research organizations in Canada, Australia, England, France, Italy, Taiwan, Japan, Norway, Denmark, and Germany.

BOOK CATALOGS

1968-1972 Quinquennial of the *National Union Catalog*

March 19 is the scheduled date for completion of the shipment of the 1968-1972 *National Union Catalog* to its subscribers by the publisher, J. W. Edwards, Inc., Ann Arbor, Mich. This quinquennial consists of 128 volumes, 56 more than the 1963-1967 edition. Volumes 1-104 constitute the *Author List,* and 105-119 the *Register of Additional Locations.* There are also two separately numbered special catalogs—a five-volume *Music and Phonorecords* catalog with a three-volume author/subject index, and a four-volume *Motion Pictures and Filmstrips* catalog with three volumes of title listings and one-volume subject index.

All volumes of the author list and the first four of the *Register* (105-108) have been sent to the subscribers, and volumes 109 through 114 were scheduled for shipment on December 13. Volumes 115 through 117 are ready for mailing and will be sent along with the final two *Register* volumes (118 and 119) when these are ready. The review copies for these last two volumes have now been received in the Catalog Publication Division.

The *Music* and *Films* catalogs are presently at the folding and cutting stage, and review copies should have left Ann Arbor in the third week of December. When these have been approved, the work of the Catalog Publication Division on this five-year cumulation will be completed.

The 128 volumes of the quinquennial contain 86,255 pages with 3,961,675 entries; 815,937 of these are references. The *Register* lists 10,442,110 locations of which 4,948,546 were manually processed and published in nine volumes (105-113), while 5,493,564 were computer produced and published in five volumes (114-118). Volume 119 contains the alphabetical listings. The five computer volumes are the first so produced after the decision was made to automate production of the *Register.*

Current National Union Catalog

Work on the 1973 annual of the *National Union Cata-*

log, with a total of 15,411 pages in 16 volumes, has been completed. The final volume of page copy was forwarded to the Government Printing Office in August and all galleys have been checked for binding and returned to GPO. Volumes one through four have been bound and mailed to the subscribers.

As an example of the steady increase in size of the *NUC*, there were 12.5 percent more pages in the 1974 September quarterly than in its 1973 counterpart. The 1974 September issue consisted of five parts totaling 4,49[illegible] while the 1973 September quarterly contai[illegible] pages.

National Union Catalog—Register of Additional Locations

The automation program through which part of the Register for the 1968-1972 quinquennial was produced was used to prepare the entire *Register* which will be published as part of the 1973 *National Union Catalog*. This *Register* will contain 1,788,208 added locations which were keyed by a local data processing firm under contract to LC. The first of five reels of magnetic tapes was sent to the Government Printing Office for photocomposition of page copy early in December. The task of keying approximately 2.5 million locations for the 1974 annual issue of the *Register* is being done under contract by another local data processing firm. This keying is expected to be completed by late December.

Library of Congress Catalog—Books: Subjects

A new invitation for bids for publication of the *Books: Subjects* quinquennial cumulation for 1970-1974 was sent to prospective publishers on July 26, 1974, and Rowman and Littlefield of Totowa, N.J., was the successful bidder. The *Books: Subjects* quarterly for April-June 1974 was shipped to the Government Printing Office on August 28 and was ready for mailing to subscribers October 24. The July-September quarterly was sent to GPO on November 8. Both issues appear in three volumes.

Preparation of the 1973 annual has been almost completed. The first 13 volumes of the 16 volumes were sent to the printer between June 28 and December 11 and the final three volumes were ready for printing December 20. The 15,720 pages of text in this annual are the largest number of pages ever to be required for an annual issue of *Books: Subjects*.

In accordance with previous practice, in order to expedite the publication of the 1970-1974 quinquennial, an annual cumulation of *Books: Subjects* will not be published for 1974. A fourth quarterly, however, covering the period October-December 1974, will be issued to all subscribers. This special issue will include all belles lettres and retrospective entries that are normally excluded from the quarterly issues and are contained instead in the annual cumulation. Work on this large publication is well in hand but it probably will not be completed until spring 1975.

Music, Books on Music, and Sound Recordings

The 1973 annual cumulation of *Music, Books on Music, and Sound Recordings* was sent to the printer on September 23 and proof copies were received November 26. This first annual of the newly expanded catalog contains some 10,950 cards printed by the Library of Congress and 3,214 entries submitted by the seven cooperating libraries. This annual issue will be bound in cloth for the first time.

Camera copy for the semiannual issue for January-June 1974 was sent to the Government Printing Office December 10. Some 5,900 LC cards are included, together with 1,567 reports from the other libraries.

Films and Other Materials for Projection

The first annual edition of *Films and Other Materials for Projection* was delayed by a variety of technical problems, and the installation of a new computer delayed the appearance of the quarterly issues for 1974. The 1973 annual issue was finally mailed to subscribers October 17 and the dianegatives for January-March 1974 were sent to GPO on December 2. Editorial work has been completed on all 1974 entries, and production of the quarterly issues should now proceed rapidly.

Monographic Series

The first issue of *Monographic Series* was mailed to subscribers November 13. Dated January-March 1974, the 941 pages of this new quarterly contain 20,909 entries representing more then 12,000 series published throughout the world. The issue for April-June 1974 was sent to the printer November 15 and the July-September quarterly was sent to the printer December 20. All newly issued or newly revised cards printed by the Library of Congress for monographs published in series are included in this publication, whether or not the series statement is traced as a secondary entry on the printed card.

Library of Congress
Name Headings with References

All personal and corporate names, geographical names used for jurisdictions of civil governments, and uniform title headings for anonymous works are included in the new catalog, *Library of Congress Name Headings with References*, provided that each requires one or more references. The first issue of this new cataloging tool for libraries was shipped to the Government Printing Office on October 17 and is expected to be distributed during the first week of January 1975. Its 224 pages, dated January-March 1974, contain approximately 10,000 headings and references, whether these have been newly established or are newly revised forms of entries prepared for older works. The April-June issue for 1974 was sent to the printer December 18, and work is well advanced on the July-September issue.

Newspapers in Microform

Newspapers in Microform 1973 will be the first annual supplement to the two-volume cumulation, *Newspapers in Microform: United States, 1948-1972* and *Newspapers in Microform: Foreign Countries, 1948-1972*. About 13,000 reports will be presented in this supplement, which will include both domestic and foreign newspapers. The editorial work is nearly completed and publication is projected for the spring of 1975.

National Register of Microform Masters

Editorial work has been completed on the 1974 annual of the *National Register of Microform Masters*. Some 52,000 entries will be included in this issue, bringing to more than 275,000 the number of reports that have been issued since 1970. The 1974 annual will be available early in 1975.

Chinese Cooperative Catalog

A major step toward realization of the proposed *Chinese Cooperative Catalog* was taken in November when the Library was informed that the twelve libraries with the major Chinese collections in this country would send catalog cards to the Catalog Publication Division for inclusion in the new catalog. The twelve libraries were selected by the Association for Asian Studies' Committee on East Asian Libraries after lengthy discussions with the Library of Congress about the contents, frequency, and cost of the proposed publication. The plan adopted involves monthly publication in book form of LC preliminary cards, LC printed cards, and cards contributed by the cooperating libraries. The catalog cards will represent both current and retrospective materials and are being published in an effort to reduce duplication of cataloging in the various libraries acquiring Chinese materials.

The Library of Congress has sent the cooperating libraries instructions on the style and format of the cards to be submitted and asked that the cards be forwarded to LC beginning January 1. It is expected that each monthly issue will contain about 1,500 cards, mounted eight to the page and arranged by romanized titles without cross references. This title approach seems to offer the best means of access to cataloging reports which may not be uniform in their choice of main entry or in details of their presentation. The pages will be photographed at only a 25 percent reduction in order to preserve the legibility of the Chinese characters, and each card will be presented in its physical entirety, in order that it may be reproduced photographically by the user if this seems desirable. Specifications for the printing of the catalog are now being worked out, and the publication of the January issue is scheduled for end of February. *The Chinese Cooperative Catalog* will be sold by the Card Division at $155 for the twelve 1975 issues.

National Union Catalog
of Manuscript Collections

The Manuscript Section, Descriptive Cataloging Division, continues to catalog and publish descriptions of about 2,000 manuscript collections annually. The cataloging of the 1973 and 1974 reports has been combined into one volume presenting a total of 2,133 collections; publication will be in the spring of 1975. The index, which will be the final cumulation of indexes for the five years, 1970-1974, will be published as a separate volume.

Pre-1956 National Union Catalog

Between July 1 and December 13, 1974, the National Union Catalog Publication Project advanced from Massachusetts, Method of Assessing Damages . . . to Morlwyd, pseud. On this editorial journey through the interior of the letter "M," many States and other political jurisdictions were encountered (for example, Mexico, Michigan, Milan, Minnesota, Mississippi, Missouri, Montana, Montreal) as were several voluminous authors (Mendelssohn-Bartholdy, Milton, Molière) and difficult title and corporate entry sections (Memoir and its many derivatives, Miscellany, Methodist Church, Moravian Church). In sum, a typical section of an atypical, massive file was

brought under control.

By December 13, 1974, 349 volumes had been published, with coverage through McDermott, Virginia; enough cards to fill an additional 38 volumes had been edited and shipped to the publisher, and the total number of edited cards since the Project's beginning stood at 6,614,775.

MARC DEVELOPMENT OFFICE

Despite the demands on MARC Development's staff and resources, work has continued toward defining an automated core bibliographic system at the next level of detail. Figures for estimated file size and growth, and types of online indexes were compiled, as well as projected staff and hardware needs for the next five years in order to accomplish the goals established in the master guidelines for the Core Bibliographic System. In addition to this effort, several papers were prepared on the relationship of this system to the Library's role in an automated National Bibliographic Service.

To accelerate the work in this area, the Council on Library Resources has awarded funds to LC for the following: (1) a pilot project for the Library of Congress (a) to receive MARC records from a selected group of other libraries that have transcribed cataloging data from LC source records (records cataloged by LC but outside the scope of the MARC Distribution Service), (b) to validate these records in the Library's Official Catalog, and (c) to disseminate these records through the distribution service; (2) an investigation of the hardware configuration necessary to implement the LC Core Bibliographic System and the National Bibliographic Service; and (3) development of a communications format to transmit records to the *National Union Catalog*. The latter two projects are being performed with contractual support.

During this reporting period, a significant milestone was reached in the Multiple Use MARC System (MUMS), the major machine component of the Core Bibliographic System. The modules of MUMS, which support the redesign of the MARC input system and the automated Process Information File, were completed and the MARC Redesign modules were placed in production status.

A security function has been added to the MUMS system and an investigation initiated regarding the security requirements to prevent compromising of data and access to files by unauthorized persons. A study was prepared describing the security features available through the Customer Information Control System (CICS), a software package used by LC. The project definition phase of the security function is nearly complete.

Since July 1974, preliminary catalogers in the Descriptive Cataloging Division have used the Early MARC Search (EMS) system of the automated Process Information File project to identify duplicates, resulting in a significant reduction in the time needed to search American trade books. The records in the EMS file consist of abbreviated MARC records and are accessible by LC card number. A refinement of the EMS system to retrieve records by search keys and to qualify queries when multiple responses are obtained is in the final testing stages. A few other divisions in the Processing Department are already using the EMS file to search by LC card number, and it is expected that the use of EMS will expand as soon as the search key capability is added. Full MARC records will be available for searching through the EMS system as soon as additional computer core storage is obtained in early calendar 1975.

Because the contract to install a status device system for the Automated Process Information File (APIF) was cancelled, work has begun on issuing a new Request for Proposal. In addition, a review of APIF requirements for a status device system is in progress.

The Library Order Information System (LOIS) project staff completed their fourth task, which brings under automated control all Order Division records pertaining to purchase subscriptions. The functional specifications for task five, which provides fiscal control of the Order Division's book material fund, has been completed. The resulting document is being used as the basis for design specifications. Preliminary file layouts have also been constructed. Concurrent with these efforts, the LOIS staff has produced a data-element dictionary to assist project programmers by providing them with a central source of information concerning data elements in the LOIS system. The dictionary will also make documentation and maintenance easier by standardizing names and definitions.

By the end of calendar year 1974, the MARC Distribution Service had distributed approximately 490,500 records for books (English- and French-language monographs and CIP titles), 23,000 film records, 13,000 records for serials, and 10,000 map records. The MARC Editorial Division will begin the input of monograph records for German, Spanish, and Portuguese in early 1975.

Programming support for the current batch-oriented MARC system has continued and includes such tasks as addition of new fields to the various formats and updating format recognition keyword lists in anticipation of new languages to be processed.

The MARC system is also being redesigned to provide an online correction capability. Acceptance testing of the first phase of this on-line system is expected to begin early in calendar year 1975. The redesign staff spent most of this reporting period producing manuals and training MARC Editorial Division input personnel in the use of the Four-Phase CRT terminals. Work is in progress on the functional specifications for the next phases of this project to provide full statistics, validation, and interface with the full master data base.

The MARC Development Office is coordinating the LC efforts related to the CONSER Project. A draft editor's manual and a document containing agreed-upon bibliographic procedures have been prepared and are being viewed by CONSER participants. Changes in the MARC serials format proposed by CONSER were submitted to MARBI (the ALA Committee on Representation in Machine-Readable Form of Bibliographic Information), and the MARBI reactions are being evaluated. Changes to handle the revised format by the MARC system have been made.

Use of the MARC data base for retrieval purposes continues to increase. In addition to the 20 monthly runs for current awareness purposes, numerous requests have been received from staff members in the Reference and Processing Departments and the Congressional Research Service. Work on an improved version of the MARC Retriever is in progress. When this version is complete, it will be modified to handle Multiple Use MARC System records.

The interim book catalog production system used to compile *Films and Other Materials for Projection* from MARC film records will make it possible for the annual cumulation to appear earlier than in the past. A proposal has also been submitted to the Catalog Publication Division to include in machine-readable form the producer's list that appears at the beginning of each catalog. Work is also in progress on a generalized book catalog production system that will incorporate the capability of generating cross references from the machine-readable authority files.

Another significant milestone has been reached with the beginning of a name authority project. The Library expects to begin capturing name authority records with references in 1975 for subsequent dissemination by the MARC Distribution Service. MARC system programs are being modified under contract with the Washington State Library. The first draft of a communications format for authority records (names and subjects) was completed.

Work on LC subject authority records is continuing in three major areas. Programming to validate the existing machine-readable subject headings file for the existence of reciprocal cross references and to add more detailed content designators for tracings is in progress. These tasks must be completed before the subject headings file can be distributed to users. Another task involves capturing subject headings at an earlier point in the processing cycle, thus providing the Subject Cataloging Division with more products from the automated system. Much of this data is then included in the printed supplements to *Library of Congress Subject Headings.*

Although the supplements to the subject headings list are being produced through the automated system on a more timely basis, there will still be a considerable delay before the eighth edition of *Library of Congress Subject Headings* (LCSH) is available to other libraries. For this reason, a microform evaluation project, using microform editions of LCSH, is being conducted by the MARC Development Office with contractual support. Various kinds of microforms are being produced for use by a selected group of libraries. Results of this study should provide valuable data for the Library in determining the optimum cumulation pattern for LCSH, the best microform for a publication of this size, and possible uses for other LC book catalogs. Libraries which are not participating in the pilot study may purchase the experimental microform at an additional charge from the Card Division when they order the printed eighth edition. As soon as the price for the microform has been established, an announcement will be made in the LC *Information Bulletin.*

A pilot project will be started this year whereby contributing libraries can report their monographic holdings to the *Register of Additional Locations* in machine-readable form. Since libraries that have automated systems are printing a card to send to LC, which in turn has to reinput such data, this project is expected to benefit both other libraries and the Library. The project will begin with the New York Public Library and the Ohio College Library Center and, if successful, should be extended to other libraries.

During this reporting period, a project to produce the annual index to the *Monthly Checklist of State Publications* by automated techniques was begun. The functional specifications were completed, the

input editors and typists in the State Documents Section, Exchange and Gift Division, were trained, and the first drafts of the manuals which would be needed were completed. An evaluation of the system is under way and if the decision is to proceed, the 1975 index will be the first to be produced by the automated system.

The influence of the MARC system on library functions and activities throughout the world continues to increase. As the desirability for international library cooperation and information interchange becomes more apparent, so does the need for consistency and standardization of library practices and processes. Staff members in the MARC Development Office have spent increasing amounts of time participating in the activities of various national and international organizations, such as the American National Standards Institute, the RTSD/ISAD/RASD Committee on Representation in Machine-Readable Form of Bibliographic Information (MARBI), the CONSER Project, the International Standards Organization, and the IFLA Working Group on Content Designators. During the November 1974 IFLA meeting in Washington, the MARC Development Office received visitors from most of the countries represented at the meeting who were interested in obtaining information about various aspects of the MARC system and its development. In addition, the MARC Development Office staff participated in a meeting of the Working Group on Content Designators. At this meeting agreement was reached on the first draft of an international format for bibliographic communication. The draft will be circulated for comment and evaluation this spring.

TECHNICAL PROCESSES RESEARCH OFFICE ACTIVITIES

An analysis of the characteristics of a sample of current catalog records was made as part of the continuing study of dynamic file growth. One of the most interesting findings is that only 4.7 percent of the 1,645 discreet name headings that appeared on 1,000 sample records were incompatible with the *Anglo-American Cataloging Rules*. This evidence of the relatively slight effect of the Library's policy of superimposition is attributable to three factors: (1) more than 31 percent of the headings were established for the record in hand; (2) about 30 percent of the "old" headings had been established since 1968 (the date AACR was adopted); and (3) the vast majority of headings would be established in the same form under either set of rules.

The study of subject retrieval in an automated system is now focusing on the results of specific subject searches employing LC subject headings, LC classification numbers, and Dewey Decimal numbers. The aim is to determine whether there is a basis for preferring one of these retrieval devices under particular conditions.

Since many categories of subject headings are excluded from the printed lists, there is no sound basis for estimating the number of distinct topical headings in the LC catalog when all subdivided forms are counted as separate headings. A study is under way to estimate the size of this population as an aid to the design of a means of subject access to the MARC data base.

INFORMATION SYSTEMS OFFICE

The Information Systems Office continued to develop and augment systems for the several Departments of the Library and for Congressional offices. A significant expansion of on-line services continued and the Office developed user requirements for future computer capacity and terminal equipment. Improvements in the control of the central teleprocessing facilities were undertaken to produce maximum system efficiency and to handle increased teleprocessing transaction between users and the central computer facility.

Responding to requests of the Congress, additional computer terminals were installed in both Houses as the use by the Congress of legislative data bases increased.

Technical Coordination Group

The Technical Coordination Group continued its studies of computer and telecommunications systems for mid-range and long-range planning. An outside contractor is working on a study for the Library on telecommunications alternatives for the LC computer complex. A Request for Proposal was prepared for two classes of cathode ray tube (CRT) terminals and was published in the *Commerce Business Daily*. Telecommunications problems affecting the reliability of Copyright Office operations were studied and a new system was installed which is expected to reduce terminal downtime by a significant amount.

Projections of computer capacity were made to 1980 and estimates of the required computer trans-

action on the central computer facility were made for the same time period. A new computer program package, FISCAL, was tested and evaluated in the preparation of recurring budget documents and in the preparation of equipment inventories, ordering plans, and management summaries.

System Development and Standards Office

A great many improvements have been made to the Customer Information Control System (CICS) which controls most of the teleprocessing systems in the Library. It is now possible to backspace a typewriter terminal in order to correct a mistake that has been made while typing and delete an entire line on such a terminal under CICS. The number of input messages during the last six months increased almost twofold. The Systems Programming staff made a number of changes to CICS which helped to improve the number of messages processed while reducing computer time for the processing.

A new version of the operating system was installed as well as faster communications lines. A remote job entry system was installed in the Copyright Office. This facility sends batch computer jobs over communications lines to the central computer. The jobs are processed and the printed output is sent back across the communications lines to the Copyright Office. This improvement will enable programmers assigned to Copyright Office applications to receive faster computer output and facilitate turnaround time for testing.

Computer Applications Office

The SCORPIO (Subject Content Oriented Retriever for Processing Information On-Line) is used to access files containing Issue Briefs, Legislative Information for the 93rd Congress and bibliographic citations. During the past six months the number of users has increased to about 300. A User's Guide was produced by the Information Systems Office to facilitate day-to-day access to the system by cathode ray tube terminals. By December 1974, the number of daily searches for information stored in the data bases being maintained exceeded 200. Comments and suggestions from users lead to a number of additional features and refinements. Two new commands were announced in September 1974—SCAN and FIND. SCAN enables the user to scan a data base sequentially by document indentifier; FIND enables the user to both select and display documents in the same keyboard operation. The location option was added to the bibliographic title/line display to facilitate finding cited documents in the CRS files. In December 1974, new features were demonstrated to users: a midpoint browse capability enables users to see terms displayed which can be selected as retrieval terms; a new display of bibliographic citations in a catalog card-type format; and all of the direct display commands for the SCORPIO files were simplified. The National Referral Center Master File consisting of descriptions of 10,000 information resources on virtually any topic in science and technology, including the social sciences, will be available to users under SCORPIO in January 1975.

Based upon Senate Resolution 345, the Librarian of Congress received a request in August 1974 to provide automation support for the Senate Committee on Foreign Relations. The Committee had established the desirability of applying automated information processing techniques to the retrieval of information from Committee files and the generation of reports useful in Committee operations. The Computer Applications Office was assigned responsibility for assisting the Committee. It decided to adapt an existing bibliographic information retrieval system (BIBSYS) for the Committee's use as a Document Control System. The system was implemented after a series of staff meetings with the Committee to define the system characteristics and through the development of new software to meet unique requirements. The Document Control System enables Committee staff to retrieve abstracts of correspondence, transcripts, legislation, nominations hearings, treaties, and other documents by subject matter, author, date, agency, or any other parameter much faster than the documents themselves could be searched manually. An Automation Thesaurus System of foreign relations-related terms similar to the CRS Legislative Indexing Vocabulary was also developed. The system is used by the Committee as a controlled vocabulary to complement the Document Control System. The system enables Committee specialists to control under which subject term a document of interest might be indexed. Research is also being conducted on an automated system to produce those reports to the Congress from the Committee that are mandated by law. The possibility of converting the present system to the SCORPIO format is also under investigation. It is hoped that the system can serve as a prototype for other Senate Committees and offices of Congress.

In the Copyright Office the first *Catalog of Copyright Entries Sound Recordings* (1972) was produced using a machine-readable record to print camera-

ready copy for the Government Printing Office. The programming and systems design of the Copyright Office Publication and Interactive Cataloging System (COPICS) was completed. COPICS provides the capability to catalog all registration classes directly into a computer system. The entry portion of the system uses a CRT display to prompt a cataloger to enter required and optional data fields and allows the cataloger, reviser, or reviewer to correct, store, and retrieve the information until the catalog process is completed. Once the catalog procedure is completed, a registration is automatically processed to generate a three-by-five catalog card set, and the data fields that were formatted to create the catalog cards are stored for future generation of the *Catalog of Copyright Entries* publication. As by-products of this system, statistical information will be maintained which will provide management with daily in-process and weekly production and user reports. The installation of COPICS was to be gradually phased into the three Cataloging Division sections, Arts, Music, and Books. Major hardware problems were encountered which delayed production use of the system until this month.

PRESERVATION ACTIVITIES

In the Binding Office, the 42 percent increase in binding appropriations provided the first million dollar budget for this operation. At the end of the year, materials being prepared for shipment to the binderies was in phase with the funds available.

In the Preservation Research Office, investigations continued on a number of important projects. Of particular interest is the laboratory's on-going study of various methods of deacidification. This investigation will ultimately result in useful comparisions of the effectiveness of such treatments, and of the special problems related to the deacidification of paper documents. Several reports have already resulted from this study and one major article has been prepared for publication.

In cooperation with a manufacturer of specialized laboratory equipment, the Library developed a compact air-conditioning unit for installation in library and museum exhibit cases which successfully holds the temperature of such cases from 18 to 20 degrees below the ambient and which can control humidity within any desired range. Eleven such units were ordered by the Library following completion of exhaustive testing of the prototype. Three of these units will be installed in specially designed cases being fabricated for the Library's exhibit of bicentennial materials, two will be used in new cases being designed to house the Gutenberg Bible and the Giant Bible of Mainz, and the remaining six will be installed in other exhibit cases.

Previous semiannual reports have referred briefly to the leaf-casting process, in which new paper pulp is used to repair or strengthen fragile or damaged documents. Leaf-casting equipment purchased last year from the Yissum Research Institute of the Hebrew National Library was too small to handle documents in large formats such as maps, posters, and similar materials. In order to provide facilities for handling such materials and to take advantage of several significant technical improvements developed by LC's Restoration Office, a contract for a new leaf-casting machine was awarded to a local fabricator in September. Because of the shortage of certain critical parts, the equipment is not yet operational, although the basic machine has been built and installed in the restoration workshops. This equipment adds an important new dimension to the capability of the Restoration Office for dealing with a number of special problems related to large format materials.

One of the associated problems in making the leaf-casting technique an effective and useful tool has been the difficulty of accurately calculating the areas of voids and other missing material to be restored. Working with one of the country's leading manufacturers, the Restoration Office has developed an electric eye scanning device which automatically determines the size of the area to be filled. This data is then fed into a hand-held computer, together with the formula for the type of pulp to be made, giving the operator the quantities required for the pulp desired.

PHOTODUPLICATION SERVICE

The two-year renovation program of the Photoduplication Service Laboratory was completed in November. The concluding phase involved the complete renovation of the main laboratory and photographic area. The laboratory is now one of the most modern, custom, full-range photoreproduction laboratories in the world.

Soaring prices of materials and frequent increases in labor costs have necessitated an examination of the Service's fee schedule. It is anticipated that some change will be made during 1975. The last major fee

revision—effective in October 1972—was projected as adequate for a two-year period. Fortunately, despite unanticipated inflationary factors, the schedule has been maintained into the third year by a careful monitoring of costs.

The Service has filmed the first seven titles in the Latin American Gazette Program for the period 1970-1973. It is anticipated that the gazettes of the remaining Latin American countries will be filmed in the early spring.

Significant research materials identified and announced in the Photoduplication Service Circular Series during the past six months were: Women and Feminism (C-224); *Far Eastern Economic Review* (C-225); *Hoy* (C-226); Chinese Military Studies and Materials in English Translation (C-227); *The African Mail* (C-228); Frank Leslie's Other Publications (C-229); *Proceedings of the Anthracite Coal Strike Commission* (C-230); Civil War Items, Rare or Unique (C-231); O.P.E.C. Publications (C-232); Philippine Statistical Titles (C-233); Dutch Statistical Titles (C-234); Latin American National Gazettes (C-235); and Hungarian Statistical Titles (C-236). Institutions interested in details and prices of the above listed collections should contact the Library of Congress Photoduplication Service, Department C, Washington, D.C. 20540, and request circulars by the above cited numbers.

FEDERAL LIBRARY COMMITTEE

The Federal Libraries Experiment in Cooperative Cataloging (FLECC) to test the effectiveness of on-line cataloging among Federal libraries which was established through the cooperative agreement that the Federal Library Committee entered into with the Ohio College Library Center now has commitments from 24 libraries. They are the Library of Congress, the National Agricultural Library, the National Library of Medicine and the libraries of the Department of the Army (Corps of Engineers, the Army Library, Army Materiel Command, the Army War College), the Bureau of Sport Fisheries and Wildlife, the Central Intelligence Agency, Concept Analysis Agency, the Department of Commerce, the Department of Housing and Urban Development, the Department of the Interior, the Department of Labor, the Department of Transportation, the Food and Drug Administration, Gallaudet College, the National Bureau of Standards, the National Institutes of Health, the National Oceanic and Atmospheric Agency, the National Security Agency, the Smithsonian Institution, the U.S. Fish and Wildlife Service, and the Veterans Administration.

The link of the OCLC system to Tymshare was declared operational by FLC on July 15, 1974, following the completion by FLECC and OCLC of system tests at the Army War College in Carlisle, Pa. The OCLC-Tymshare service is available from almost any point in the world over standard telephone circuits using a teletype compatible terminal with upper and lower case and a line length of at least 72 characters. A CRT terminal should be capable of displaying at least 24 lines on a screen.

This dial-up access to OCLC which was made possible by the FLECC/OCLC agreement, was announced in the *OCLC Newsletter* of July 29, 1974. The increased flexibility of the OCLC network is due to the interfacing of minicomputers between OCLC's main computer in Columbus and teletype-like terminals in libraries. Libraries with teletype-like terminals can access the OCLC on-line system by telephone. The terminal operator simply picks up a telephone, dials a Tymnet number, and puts the phone in the cradle of a modem acoustic coupler. The operator sends a message on a teletype to a Tymnet computer in California which relays the message to a Tymnet node in Columbus. From the node, the message proceeds to OCLC's minicomputer, which reformats and forwards the message to OCLC's main computer. OCLC's computer sends the information back to the minicomputer, which again reformats and routes the message back along Tymnet to the teletype-like terminal. Although this process is slower than communicating by direct-access leased lines, it will enable small libraries with either a low volume of cataloging or a remote geographic location to participate in OCLC by means of a dial-up network.

Of the total of 35 terminals being used to access the OCLC system, eight are teletype compatible terminals using the Tymshare link. These include not only agency branch libraries throughout the United States, but libraries within the Metropolitan Washington Area who are using the teletype compatible terminals as their second or third terminal. The libraries in this area have been using the teletype compatible terminals primarily for the input of original cataloging for serial titles.

With the assistance of the Department of the Army, a request for proposals was announced for an evaluation of the FLECC/OCLC experimental project. Nine of the libraries will participate in the evaluation. The award to the successful bidder will be made in this month.

Four subcommittes have been established to: (1) study the findings and recommendations of the General Accounting Office, Review of Federal Library Operations in Metropolitan Washington; (2) study all aspects of Federal personnel practices and procedures dealing with the hiring, employment, and training of librarians and library technicians; (3) define statistical reporting to the Joint Financial Management Improvement Programs regarding the measuring and enhancing of productivity in the Federal Government; and (4) work with the GSA to try to establish the procurement of data bases through the Federal Supply Schedule.

MANUSCRIPT DIVISION

Recent acquisitions include the personal papers of Eugene Meyer and Kurt Vonnegut, the records of the Association of Research Libraries and the Leadership Conference on Civil Rights, and the files of the U.S. Senate Select Committee on Presidential Campaign Activities, deposited in the Library by Senate Resolution. Collections recently opened include the papers of Harold Ickes (June 1), Hugo L. Black (July 15), and Harlan F. Stone (January 2, 1975). Microfilm editions of the following have been completed: Harold Ickes diaries (12 reels, with index), Cordell Hull papers (118 reels, with guide), James Kent papers (7 reels, with guide), and Andrew Ellicott papers (2 reels, with guide).

Two publications in the series, Registers of Papers in the Manuscript Division, were issued: *J. Robert Oppenheimer* (No. 43) and *David Glasgow Farragut, John Gwinn, John Lowe, the Porter Family* (No. 34, part 19: Naval Historical Foundation Collection).

NATIONAL UNION CATALOG REFERENCE SERVICE

For the six-month period ending November 30, 1974, the Union Catalog Reference Unit (UCRU) handled 25,232 requests for locations and bibliographic information compared with 24,339 for the previous six-month period. The distribution in the near future of a questionnaire to elicit user evaluations of UCRU's services is planned.

SERVICES TO THE BLIND AND PHYSICALLY HANDICAPPED

Intensive planning for a bibliographic system for blind and physically handicapped readers occupied the first half of this fiscal year for the Division for the Blind and Physically Handicapped (DBPH). A three-year plan was developed which identified comprehensive steps for achieving an effective automated program.

Objectives outlined for 1974-1975 were the review of cataloging records and correcting and editing them as required, as preparation for input into a machine-readable format. During this year, a system study is being conducted on contract to determine the optimum design for a computerized system suited to the needs of the division and its network of regional and subregional libraries.

To date, every sub-task planned and begun to accomplish these long-range objectives has been completed on schedule. Bibliographic entries have been reviewed for completeness, relevancy, accuracy, and coverage, and merged into three card catalogs. This effort included a physical inventory of archival materials. An essential portion of this phase was to assure that all DBPH records conform to appropriate Library of Congress, MARC Development Office, DBPH, and other governmental standards. Basic documents were developed which are essential to the implementation of the conversion project.

A minimum of 25,000 DBPH catalog records will be converted to machine-readable form. The entries will include both mass-produced and the limited-production segments of the DBPH collection, which will form the nucleus of the union catalog of materials produced for the blind and physically handicapped.

Progress continued with the automated book production subsystem, which is now capable of tracking the status of book titles in process from selection, through production, to distribution to the cooperating library network. In addition, the Library of Congress computer center is utilizing data entered on-line at DBPH to produce records used in catalog card production for volunteer-produced materials.

A new Book Selection Policy, which was drafted in fiscal year 1974, was adopted and circulated to cooperating network libraries. This policy defines the philosophy of selection and the principles to be used in selecting materials for the blind and physically handicapped.

During this period DBPH received and reviewed a statistical report prepared under contract on a survey of braille readers. The purposes of the study were to

learn the kinds of books and magazines current braille readers like to read, and to gain current knowledge of the personal characteristics of these readers. The sample was drawn from a total reader population of more than 25,000 persons. The most significant finding was that braille readers, like talking book readers, read mainly for recreational purposes.

An innovation within the area of recorded materials was the beginning production of cassette titles at the speed of 15/16 ips. The purpose of this change was to achieve economics in the production process and facilitate use by readers. Approximately 250 titles to be produced at this speed are now in process.

Preparation for the January 1 opening of the Puerto Rico Regional Library for the Blind and Physically Handicapped was accomplished. This cooperating library is the 54th regional library in the program. As of the end of December, seven new subregional libraries are participating in this national reading service for the blind and physically handicapped.

MOTION PICTURE PROGRAM

The level of acquisition of motion picture and television materials remains quite high with contemporary films being added through the operation of the copyright law, the continuing operation of agreements with the American Film Institute, and other cooperative programs. Approximately 4,000 titles are being added yearly and over half of these are retrospective additions and are on nitrate-base. Videotapes are also being selected for addition to the collections, although changing technical standards in the industry appear to have slowed the acquisition of tapes during the past six months.

During the past 18 months, the cataloging staff of the Motion Picture Section has worked closely with the MARC Development Office on a pilot project which has resulted in the production of an extremely interesting and useful data base including 692 records and 191 cross references of the Kleine and Tayler Collections of early motion pictures. Printouts from this data base have already proven useful in the reference activities of the Motion Picture Section and the eventual publication of a catalog of the Kleine Collection is contemplated. At the present time the Motion Picture Section holds printouts in the following forms: shelflist cards, general staff printout, reference title catalog, reference index, nitrate title list, reference print list, Kleine reference title catalog, and Kleine reference index.

The principal preservation activity continues to be the copying of nitrate films onto acetate base by the Library's motion picture laboratory. It is anticipated that the laboratory will print, and thus preserve, about four million feet of deteriorating film this year.

NEWSPAPER PRESERVATION PROGRAM

Foreign Newspapers

Early in fiscal year 1975, the Library acquired, from Microfilming Corp. of America, positive microfilms of the London *Times* for January 1813-December 1951, thus completing the Library's film holdings of this important newspaper for 1785-1973. Microfilms of the London *Sunday Times* were also acquired for the period November 1822-December 1955, again completing the Library's holdings on film for the entire period 1822-1973.

Upon the recommendation of the Serial Division, a noteworthy exchange program for African newspapers was carried out during the Fall by the Library's Exchange and Gift Division and Northwestern University. Unbound holdings of 23 major African newspapers were acquired from Northwestern University and are currently being collated with the Library's holdings for microfilming by the Photoduplication Service.

The Serial Division, in cooperation with the ARL Center for Chinese Research Materials, prepared the Library's holdings of the Shanghai, China *North-China Daily News*, 1946-1951, for microfilming for addition to the Center's master negative, 1864-1945.

Domestic Newspapers

Major domestic titles being filmed at the Library of Congress during July-December 1974 are the Grand Rapids, Mich., *Herald*, 1888-1959 and the Santa Fe, N. Mex., *New Mexican*, 1888-1959. From commercial sources, major titles being acquired on film to replace the Library's holdings include the Minneapolis, Minn., *Tribune*, 1867-1946 and the Detroit, Mich., *News*, April 1935-June 1955.

SCIENCE AND TECHNOLOGY DIVISION

The third edition of *Directory of Federally Supported Information Analysis Centers* was published at the very beginning of the fiscal year. Originally a publication of the now defunct Committee on Scientific

and Technical Information (COSATI), the third edition was compiled by the National Referral Center as a Library publication, was printed in-house, and is being sold through the National Technical Information Service. The NRC resources analysts and the staff of the Publications Section then turned their efforts to the massive and still ongoing task of reconciling and upgrading NRC resources records following the machine merge of the old IRIS computer file used for internal NRC support operations and the Publications Section file used for photocomposition of the series *A Directory of Information Resources in the United States*. While the actual merge occurred in April, it took several months to produce the necessary editing tools and to convert various auxiliary files, such as subject cross-references, to compatible MARC formats. Yet to be completed is a similar conversion of the NRC Request Action Record File, which contains records on the servicing of requests for referral services. An exciting milestone, reached in mid-December, was an on-line search and display demonstration on a video terminal in the Information Systems Office of a test portion of the NRC file. This occurred just as a parallel effort was nearing fruition to access the NRC file on-line as part of the AEC/RECON data base complex at Oak Ridge, Tenn. That system has already been used throughout the reporting period to access *Nuclear Science Abstracts* and other related files at Oak Ridge. Another expansion of the division's on-line access capability was the addition, in September, on a trial basis, of the SDC ORBIT search service covering SCISEARCH, COMPENDEX, CHEMCON, and a number of other data bases of major relevance to the division's reference service operations. On the Science Serials project, ATS keyboarding of the 10,000 titles already coded is approximately 70 percent completed.

The *LC Science Tracer Bullet* and *List of Selected Resources* series continued to elicit enthusiastic responses from the public. The NRC brochure was reprinted—in part to satisfy a bulk requirement from the Special Libraries Association, which offered to mail it to its entire membership, along with a modified version of the basic NRC registration form. Other division publications included the *Antarctic Bibliography, Volume 6*, which was the first in that series to be computer-produced, and the related monthly *Current Antarctic Literature* bulletins with four-month cumulated author and subject indexes. Efforts to produce cumulated indexes to volumes 1-5 of the *Antarctic Bibliography* were temporarily halted owing to funding difficulties.

As in the past, the division also provided text—and sometimes camera-ready copy—for the publications issued by other agencies. These included Volume 28 of the *Bibliography on Cold Regions Science and Technology*, published by the Army's Cold Regions Research and Engineering Laboratory, and *Astronautics and Aeronautics: Chronology of Science, Technology, and Policy, 1972*, published by NASA. Still in press are Volume 1 of the *NASA Historical Data Book, 1958-1968*, to be published by NASA, and *Wilbur & Orville Wright: A Chronology Commemorating the Hundredth Anniversary of the Birth of Orville Wright*, to be published by the Library. Finally, an extended task that is nearing completion is the Division's role in verifying entries for a revised version of *A Guide to the World's Abstracting and Indexing Services in Science and Technology* being compiled jointly by the National Federation of Abstracting and Indexing Services and the International Federation for Documentation.

CONGRESSIONAL RESEARCH SERVICE

The last six months of 1974 were busy ones for the Congressional Research Service, the information and research arm of Congress. The close of fiscal 1974 brought the total number of requests cleared by the Service to over 202,000, an all-time record. By the end of the first quarter of fiscal 1975, over 68,000 requests had poured into CRS, an 11.4 percent increase over the same period in 1973.

As the 93rd Congress drew toward a close, preparations began for the 94th Congress. Teams of analysts from throughout the Service began to generate lists of subjects and policy areas for analysis in depth for 51 Congressional committees. Required by the Legislative Reorganization Act of 1970, the preparation of subject lists is complemented by lists of Federal programs and activities scheduled to expire during the 94th Congress, prepared by the Terminating Programs Unit of the American Law Division. All of this material, with appropriate supplementary analysis, will be sent to Congressional committees as soon as possible after the 94th Congress convenes.

During the last six months, a new dimension has been added to CRS's service to Congress: futures research. Formal approval and budget authority has been granted for this relatively new discipline, which is designed to help the Service do a more penetrating job of identifying and analyzing emerging public policy issues, especially of the type suitable for the

team approach. Futures research will not necessitate a separate and distinct organizational unit, but will become an integral aspect of the work of all substantive divisions and specialists, adding a further dimension to existing resources and talents. An interdivisional futures "team" and a futures research advisory panel have been formed within CRS, supplemented by a "core group" of individuals to provide necessary information, methodological support, and coordination of futures work in all divisions. A contract has been let by CRS and the National Science Foundation to the World Future Society to produce a two-volume work entitled *Resources for America's Third Century*. The first volume will be an introduction to futures research; the second will provide planning data and information sources.

As mentioned in the last report, CRS has developed a new computer data base, called the Major Issues System, which was brought to pilot operational status early in 1974. This data base is a file of some 160 objective reports, continually updated to provide currency, on key issues of public policy. The system provides rapid dissemination of information to Members of Congress through the use of cathode ray tube terminals, located in various Congressional offices and the Library. It is available also in printed copy.

Each report in the system contains a concise definition and analysis of the subject as well as separate sections on key legislation, hearings, Congressional reports, references to the professional literature, and a chronology of significant events related to the issue. The reports represent the research and expertise of more than 130 senior staff members within CRS.

While the system has been in operation on a pilot basis for several months, it was formally announced and made generally available to the Senate and the House in mid-November. In the Senate, the announcement was made to coincide with the move of the CRS Senate Reference Center to larger quarters within the Russell Senate Office Building. Following the formal announcement, CRS distributed about 1,400 copies of the issue brief reports each week, in response to direct requests from Congressional offices.

To help new Members of the 94th Congress become acquainted with the function and services of the Congressional Research Service, briefings were begun in October for more than 100 Congressional offices. Representatives from each office were provided with a broad description of CRS services to the Congress, emphasizing key provisions of the 1970 Legislative Reorganization Act, and a tour of key areas of the Service. Plans are being made for additional programs in the next few months to educate both current and freshman Members in the new and traditional services of CRS.

The third annual series of seminars on national growth policy for Members of Congress and their senior staff was initiated in October. The focus of this year's series is the 1974 National Growth Report, submitted by President Ford to Congress. Members of Congress were also invited to participate in seminars on food scarcity and a national materials policy, conducted in cooperation with the Brookings Institution's Advanced Study Program. For CRS professional staff, the CRS Speakers Forum presented Leslie Gelb, columnist for the New York *Times*, John Starke of the Joint Economic Committee, Alton Frye from the Carnegie Endowment and the Council on Foreign Relations, and F. T. Sparrow from the National Science Foundation.

AMERICAN REVOLUTION BICENTENNIAL OFFICE

Preparations are almost complete for the fourth in the series of symposia on the American Revolution being held at the Library of Congress to commemorate the bicentennial of American independence. The theme of the symposium, which is set for May 8-9, 1975, is "The Impact of the American Revolution Abroad." Among the participants are Robert R. Palmer, Yale University; Claude Fohlen, University of Paris-The Sorbonne; J. W. Schulte Nordholt, State University of Leiden; J. H. Plumb, Christ's College, Cambridge; N. N. Bolkhovitinov, Institute of General History, Moscow; Mario Rodriguez, University of Southern California, and Owen Dudley Edwards, University of Edinburgh.

Copy for the second volume of the *Letters of Delegates to the Continental Congress, 1774-1789* is being delivered to the Publications Office.

The projected number of entries for *Revolutionary America, 1763-1789*, the Library's comprehensive bibliography of primary and secondary sources on the American Revolution, has risen to 12,400. Annotations are almost complete for 3,500 select works. Because of its extraordinary size, typesetting on the volume is proceeding in stages.

The completed *Guide to Manuscripts in the Library of Congress for the Study of the American Revolution* is expected from the printer this month. The volume is a comprehensive study of manuscripts for the period 1763-1789. It will be available on order from the Government Printing Office. Also soon to be released is a guide to graphic materials, such as prints, cartoons, and portraits, in the Library from this same period.

A recent decision by the Library to include in the guide to maps its collection of maps and charts from *The Atlantic Neptune*, the official British maritime atlas of North America during the Revolution, has greatly expanded the size of this work. The additional material probably will delay publication of the guide about one year and raise the number of entries to about 3,500. Cataloging of single maps and atlases is nearly complete.

OTHER PUBLICATIONS

The diversity of the Library's collections, programs, and services is dramatically reflected in the broad range of monographs and serials published by the Library during the last six months. Of particular interest as the American Revolution Bicentennial approaches is an account of the Revolution based on significant contemporary materials in the Library's collections, published under the title *To Set a Country Free*. This heavily illustrated book, whose title is taken from Thomas Paine's *American Crisis*, parallels the Library's Bicentennial exhibition, which will open in April. In connection with the exhibition, replicas of 12 Revolutionary War flags will hang in the Library's Great Hall. Histories and reproductions of the flags are included in an exhibit brochure entitled *Twelve Flags of the American Revolution*. Both publications are for sale by the Information Office.

Leadership in the American Revolution, containing the papers presented at the third Library of Congress symposium on the American Revolution, appeared at the close of the year. Published through a grant from The Morris and Gwendolyn Cafritz Foundation, which has also supported the symposia themselves, this volume contains analyses of Revolutionary leadership by L. H. Butterfield, Alfred H. Kelly, Marcus Cunliffe, Gordon S. Wood, Don Higginbotham, and Bruce Mazlish.

Rare items from both the Revolutionary period and the 19th century are included in *Americana in Children's Books*, an illustrated chapbook catalog prepared by the Children's Book Section to accompany an exhibit mounted in the Rare Book Room. Nostalgia of a more recent vintage runs rampant in *An American Sampler*, an exhibit catalog whose illustrations depict popular impressions of life in the 19th century as seen by artists of the period.

Access to the Library's collections was facilitated through publication of a number of special descriptive and bibliographic works. These included: *The Archive of Hispanic Literature on Tape: a Descriptive Guide; Polish Books in English;* new editions of *Newspapers Received Currently in the Library of Congress; Cassette Books;* and *Some Guides to Special Collections in the Rare Book Division.*

Volume 8 of *A List of Geographical Atlases in the Library of Congress*, provides an extensive index to the 8,181 atlases of the Western Hemisphere described in volume 7.

Published under the auspices of the Gertrude Clarke Whittall Poetry and Literature Fund, *Teaching Creative Writing*, the proceedings of a conference held in the Library, provides insight into programs and methods for teaching the writing of poetry, fiction, and non-fiction prose. The Library also published *The Instant of Knowing*, a lecture by Poetry Consultant Josephine Jacobsen.

Two listings, the five-page *Organization of the Petroleum Exporting Countries (OPEC): A List of Research Materials in the Library of Congress and Other American Libraries* and the 14-page *International Federation of Library Associations (IFLA): A Selected List of References*, issued for the meeting of IFLA's General Council in Washington last November, are available free from the Library's Union Catalog and International Organizations Reference Section.

The July 1974 *Quarterly Journal* reflects the diversity of the Library's interests. In "Mathew B. Brady and the Rationale of Crime," author and rare-book dealer Madeleine B. Stern discusses Marmaduke Sampson's phrenological study of convicted criminals. Walter W. Ristow, Chief of the Geography and Map Division, analyzes some fine examples of the cartographer's art in "Dutch Polder Maps," and Yehoshua Ben-Arieh, The Hebrew University, Jerusalem, sheds new light on Frederick Catherwood, the "architect-explorer of two worlds," in "The Catherwood Map of Jerusalem." Sylvia Lyons Render, the Manuscript Division's Specialist in Afro-American History and Culture, presents a Frederick Douglass holograph, believed to be the oldest of his literary writings identified to date, in her article entitled "Freedom." And finally, William Matheson, Chief of the Rare Book Division, describes the wide range of materials added during the past year to the collections in the custody of that division.

Selections from "Color and the Graphic Arts," an exhibition opened by the Library in September 1974, were included in the October *Quarterly Journal*, which also introduced a new format for listing acquisitions of the Manuscript Division and an index providing more detailed subject matter coverage than in the past. In addition, Leonard N. Beck, Rare Book Division, discusses rare items in the Library's Houdini and McManus-Young collections of magica.

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INTERNATIONALLY · THORNE BINDER SEIDMAN

AUDITOR's REPORT

January 16, 1975

Board of Directors
Association of Research Libraries
Washington, D. C.

We have examined the statement of assets and liabilities of the Association of Research Libraries as of December 31, 1974 and 1973, and the related statements of receipts and disbursements and changes in fund balances for the years then ended. Our examination was made in accordance with generally accepted auditing standards, and accordingly included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances.

The financial statements of the Foreign Newspaper Microfilm Project were examined by other auditors whose reports have been furnished to us. Our opinion, insofar as it relates to the amounts included for this project, is based solely upon the reports of the other auditors.

These statements have been prepared on the cash receipts and disbursements basis, and, as a result, omit material assets and liabilities. Accordingly, they do not, in our opinion, present financial position and results of operations as they would had generally accepted accrual basis accounting principles been applied in their preparation.

In our opinion, based upon our examination and the report of other certified public accountants, the accompanying statements present fairly the assets and liabilities of the Association of Research Libraries at December 31, 1974 and 1973, arising from cash transactions, and the recorded cash receipts and disbursements and changes in fund balances of the Association during the years then ended, on a consistent basis.

Seidman & Seidman

Certified Public Accountants

ASSOCIATION OF RESEARCH LIBRARIES

STATEMENT OF ASSETS AND LIABILITIES

	December 31, 1974	1973
ASSETS		
Cash in bank and on hand	$ 37 366	$ 25 920
Cash in savings account	9 350	40 958
Cash held by others - agency fund	76 888	109 277
Savings certificates	322 802	238 385
Deposits	368	487
	$446 774	$415 027
LIABILITIES		
Payroll taxes withheld	$ 2 579	$ 1 994
Special programs for which the Association is accountable to the grantors	39 505	30 089
Total liabilities	42 084	32 083
FUND BALANCES		
General Operating Fund	110 771	121 246
Foreign Newspaper Microfilm Project Agency Fund	76 888	109 277
Chinese Center Revolving Fund	217 031	152 421
Total fund balances	404 690	382 944
	$446 774	$415 027

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

GENERAL OPERATING FUND
STATEMENT OF RECEIPTS AND DISBURSEMENTS

	Year ended December 31, 1974	1973
RECEIPTS:		
Dues	$184 000	$142 000
Publications	8 238	5 655
Royalties	825	1 288
Interest	27 439	18 184
Miscellaneous	-	60
Total receipts	220 502	167 187
DISBURSEMENTS	220 718	181 394
Less administrative expenses charged to special programs	15 000	20 719
Net disbursements	205 718	160 675
EXCESS OF RECEIPTS OVER DISBURSEMENTS	$ 14 784	$ 6 512

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

FOREIGN NEWSPAPER MICROFILM PROJECT AGENCY FUND
STATEMENT OF RECEIPTS AND DISBURSEMENTS

	Year ended December 31, 1974	1973
RECEIPTS:		
Dues	$ 72 527	$ 74 375
Sales to members and non-members	76 429	90 247
Interest	5 300	800
Totals	154 256	165 422
DISBURSEMENTS:		
Professional fees	650	600
Insurance	617	618
Miscellaneous	136	102
Newspapers and microfilm	87 187	51 079
Payroll taxes	2 963	2 026
Purchases for members and non-members	58 468	72 531
Royalties	74	1 746
Salaries	32 944	23 799
Storage	1 950	280
Supplies	1 656	1 177
Totals	186 645	153 958
EXCESS OF RECEIPTS OVER (UNDER) DISBURSEMENTS	$(32 389)	$ 11 464

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

STATEMENT OF CHANGES IN FUND BALANCES

	Year ended December 31, 1974	1973
GENERAL OPERATING FUND:		
BALANCE, at beginning of year	$121 246	$114 734
ADD - excess of receipts over disbursements	14 784	6 512
- transfer from Chinese Center Revolving Fund in respect of project overhead	17 552	-
	153 582	121 246
LESS - excess of disbursements over receipts on completed project (Inter-Library Loan - N.S.F.)	4 603	-
- transfer to Chinese Center Revolving Fund in respect of interest earned on invested cash	38 208	-
	42 811	-
BALANCE, at end of year	$110 771	$121 246
FOREIGN NEWSPAPER MICROFILM PROJECT AGENCY FUND:		
BALANCE, at beginning of year	$109 277	$ 97 813
ADD - excess of receipts over (under) disbursements	(32 389)	11 464
BALANCE, at end of year	$ 76 888	$109 277
CHINESE CENTER REVOLVING FUND:		
BALANCE, at beginning of year	$152 421	$100 191
ADD - excess of receipts over disbursements	43 954	50 389
- amount transferred from liability account	-	1 841
- transfer from General Operating Fund in respect of interest earned on invested cash	38 208	-
	234 583	152 421
LESS - transfer to General Operating Fund in respect of project overhead	17 552	-
BALANCE, at end of year	$217 031	$152 421

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

CHINESE CENTER REVOLVING FUND
STATEMENT OF RECEIPTS AND DISBURSEMENTS

	Year ended December 31, 1974	1973
RECEIPTS:		
Sale of publications	$128 201	$124 992
DISBURSEMENTS:		
Cost of publications	82 080	71 040
Postage and other expenses	2 167	-
Transfer to Center for Chinese Research Materials program	-	3 563
	84 247	74 603
EXCESS OF RECEIPTS OVER DISBURSEMENTS	$ 43 954	$ 50 389

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

NOTES TO FINANCIAL STATEMENTS

ACCOUNTING PRINCIPLES FOLLOWED

The Association charges expenditures for office equipment in full to current operations and shows no equipment in its accounts.

INCOME TAXES

The absence of a provision for income taxes is due to the Association's exemption from federal income tax under Section 501(c)(3) of the Internal Revenue Code.

LEASE

Monthly rental of $1,406 is payable for the Association's office premises on the lease expiring June 30, 1975. Rent expense is allocated as follows:

	1974	1973
General operations	$ 6 466	$ 7 119
Center for Chinese Research Materials	6 222	6 369
University Library Management Study Office	3 546	3 388
I.F.L.A. Convention	642	-
	$16 876	$16 876

SUPPLEMENTAL MATERIAL

Our examination of the financial statements included in the preceding section of this report was directed to an expression of our opinion on those statements taken as a whole. The supplemental material presented in the following section of this report has been subjected to certain audit procedures applied in connection with our examination of the financial statements. This information, while not considered necessary for the fair presentation of the statements of assets and liabilities and receipts and disbursements of the Association, is, in our opinion, fairly stated in all material respects when considered in relation to the financial statements taken as a whole.

Seidman & Seidman

Washington, D. C.
January 16, 1975

ASSOCIATION OF RESEARCH LIBRARIES

GENERAL OPERATING FUND
SCHEDULE OF DISBURSEMENTS

	Year ended December 31, 1974	1973
Board and committee expenses	$ 7 784	$ 6 925
Conference expense	9 952	7 876
Dues	2 169	1 825
Equipment purchases	818	845
Honorarium	600	500
Hospitalization	1 519	1 611
Insurance and bonding	2 986	3 252
Miscellaneous	572	728
Payroll taxes	4 757	3 699
Periodicals and subscriptions	854	1 435
Printing	11 481	9 321
Professional fees	24 633	11 416
Postage and freight	2 386	2 214
Rent	6 466	7 119
Retirement plan	9 383	8 025
Salaries	105 551	89 053
Staff travel and expenses	2 871	6 574
Stationery and office expenses	7 220	5 627
Telephone	3 716	3 349
Funding for special programs - University Library Management Study Office	15 000	10 000
Totals	$220 718	$181 394

ASSOCIATION OF RESEARCH LIBRARIES

SPECIAL PROGRAMS
SCHEDULE OF RECEIPTS AND DISBURSEMENTS

	Year ended December 31, 1974		
	Center for Chinese Research Materials	University Library Management Study Office	Inter-Library Loans (N.S.F.)
RECEIPTS:			
Grants	$116 000	$ 82 731	$18 200
Convention income			
Sale of publications		17 383	
Transfer from General Operating Fund		15 000	
Transfer from Chinese Center Revolving Fund			
Regional workshop income		980	
Totals	116 000	116 094	18 200
DISBURSEMENTS:			
Allocated administrative fees	10 000	5 000	
Consulting fees		362	
Contractor fees			23 367
Convention expenses			
Employee benefits	8 328	6 776	575
Equipment purchases		564	
Miscellaneous	645	588	
Office expenses	5 529	5 575	
Payroll taxes	3 930	2 868	
Periodicals and subscriptions	329	745	
Postage	178	1 665	
Printing	3 078	15 716	4 124
Rent and storage	7 579	3 546	
Salaries and investigator fees	69 184	55 785	313
Telephone	1 013	3 599	
Training		576	
Travel	5 209	4 167	1 130
Totals	115 002	107 532	29 509
EXCESS OF RECEIPTS OVER (UNDER) DISBURSEMENTS	998	8 562	(11 309)
PROGRAM BALANCE - BEGINNING	1 718	(1 583)	6 706
	2 716	6 979	(4 603)
TRANSFER TO EQUITY ACCOUNT	-	-	4 603
PROGRAM BALANCE - END	$ 2 716	$ 6 979	$ -0-

Year ended December 31, 1974			Year ended December 31, 1973
Brasenose II Conference	I.F.L.A. 1974 Convention	Total	Total
$ -	$ 18 500	$235 431	$334 378
	98 186	98 186	-
		17 383	3 318
		15 000	10 000
		-	3 563
		980	-
-	116 686	366 980	351 259
		15 000	20 719
		362	3 506
		23 367	151 224
	110 124	110 124	-
		15 679	15 618
		564	1 456
		1 233	1 724
		11 104	10 863
		6 798	6 206
		1 074	991
		1 843	1 854
		22 918	14 916
		11 125	10 192
		125 282	119 741
		4 612	3 957
		576	5 308
		10 506	14 969
-	110 124	362 167	383 244
-	6 562	4 813	(31 985)
3 748	19 500	30 089	63 915
3 748	26 062	34 902	31 930
-	-	4 602	(1 841)
$3 748	$ 26 062	$ 39 505	$ 30 089

ASSOCIATION OF RESEARCH LIBRARIES

PROOF OF CASH
YEAR ENDED DECEMBER 31, 1974

CASH BALANCE, beginning	$415 027
ADD - Excess of receipts over (under) disbursements:	
Special programs for which the Association is accountable to the grantors	4 813
General Operating Fund	14 784
Foreign Newspaper Microfilm Project Agency Fund	(32 389)
Chinese Center Revolving Fund	43 954
Payroll taxes fourth quarter 1974 paid January 1975	2 579
	448 768
LESS - Payroll taxes fourth quarter 1973 paid January 1974	1 994
CASH BALANCE, ending	$446 774

APPENDIX W

CENTER FOR CHINESE RESEARCH MATERIALS

Annual Report for the Year 1974

by P. K. Yu

The year 1974 was a very productive one for the ARL Center for Chinese Research Materials which has been operating for almost seven years now. In the twelve months under review the Center has increased its bibliographic service activities to bring them into closer proximity to its renowned program of reproducing Chinese research materials.

Sales of the Center's publications in this country and abroad have reached record levels, particularly during the latter half of 1974. While the Center has gained recognition as a most successful model of a national institution serving both individual scholars and libraries in the field of China studies, it is still confronted with the uncertainty of whether or not it can continue to operate in future years. Following are reports on the various activities carried out by the Center in 1974:

I. Bibliographic Service

The ARL Chinese Center renders its bibliographic services through various channels. Foremost of these is the Newsletter, of which issue numbers 15, 16 and 17 containing a total of 78 pages of text were published in 1974. In these issues were identified 271 titles with full bibliographic descriptions. 218 of these titles are available from the Center. They have been grouped under various topics and categories of which a number are listed below:

Topic/Category	No. of Titles Identified
1. On the Shensi-Kansu-Ninghsia Border Region -- Yenan period, 1930-1949	181
2. Communist Newspapers of the Kiangsi Soviet Era -- 1930s.	3
3. Communist Newspapers, various editions -- 1930s-1971	8
4. Provincial Government Gazettes of the Republican Period (on 143 reels of microfilm)	18
5. On Sino-Japanese Relations	6
6. On Sino-Russian Relations	13

In addition, the ARL Chinese Center identified, described and made available 28 publications from the People's Republic of China, bearing imprints of 1973 and 1974, as well as of earlier dates.

Of the five titles falling into the category of "research aids", two are as follows:

a) Chinese Collections in the Library of Congress: Excerpts from the Annual Report(s) of the Librarian of Congress, 1898-1971. 3 vols., 1,321p.

b) Mao Tse-tung and the Tsunyi Conference: An Annotated Bibliography. ix+111p.

Another two titles which have been identified, annotated and reproduced merit particular mention because of their importance and the time needed to collect the scattered issues from various locations:

a) K'ang-chan wen-i (Literature of the War of Resistance). Chungking, 1938-1946. Vols. 1-10.

b) The Chinese Students' Monthly. New York, 1906-1931. Vols. 2-26:6.

While the bibliographic descriptions appearing in the Newsletter are of necessity held compact, the descriptions preceding the text of a reproduction or original publication are much more detailed.

Other bibliographic services rendered by the ARL Chinese Center include the answering in writing or through personal interviews to enquiries regarding the availability of specific titles or materials for a specific topic. Although this kind of service was not foreseen when the guidelines for the Center's operation were established, it is only logical that people in need of information draw on the Center's experience and expertise.

II. Reproduction and Distribution of Materials

In 1974 the ARL Chinese Center reproduced 200 new titles at a total list price of $7,347.10. The following tables afford a comparison with previous years.

Table I -- by years

Years	No. of Titles	List Price
1968-1971	388	$13,536.75
1972	190	8,248.45
1973	283	3,937.05
1974	200	7,345.10
Total:	1,061	$33,067.35

Table II -- by categories

Category	No. of Titles 1968-1973	No. of Titles 1974	Total No. of Titles	Total List Price
Newspapers	11	12	23	$ 6,507.50
Periodicals	49	18	67	6,084.40
Government Publications	62	18	80	7,293.00
Research Aids	76	5	81	4,568.90
Monographs	637	144	781	8,265.55
Literature	26	-	26	182.80
Newspaper Supplements	-	3	3	165.20
Total:	861	200	1,061	$33,067.35

As previously indicated, the ARL Chinese Center can report record sales of its publications during 1974. Sales for the year amount to $257,819.22, which brings the total sales from 1969 to the end of 1974 to $689,139.22. The following table indicates the growth of the ARL Chinese Center and the demand for its publications:

Period	Sales	Average Monthly Sales
1969-1971	$209,649.86	$ 5,823.61
1972	94,286.67	7,857.22
1973	127,383.47	10,615.29
1974	257,819.22	21,484.93
Total:	$689,139.22	

If the sales figures reflect the growth of the CCRM, a list of its customers will show the wide acceptance it has won. The ARL Chinese Center not only offers a program of national value in fulfilling the needs of American institutions, it has extended its services beyond the Atlantic and the Pacific to the far sides of Europe and Asia itself. The extensive correspondence received by the Center from many parts of the world is evidence that it is rendering a unique and highly valued service which benefits the entire scholarly community in the China studies field. The following is a list of purchasers of CCRM materials that placed orders in excess of $5,000 between January 1969 and December 31, 1974:

Domestic

Organization	Sales 1/1/69-12/31/73	Sales 1/1/74-12/31/74	Total Sales 1/1/69-12/31/74
1. Univ. of Michigan	$18,203.98	$13,312.75	$31,516.73
2. Princeton University	16,864.15	10,727.95	27,592.10
3. Cornell University	10,212.35	16,440.05	26,652.40
4. Center for Research Libraries	19,010.00	6,415.80	25,425.80
5. The Library of Congress	16,410.90	5,273.55	21,684.45
6. University of Chicago	16,547.85	4,622.20	21,170.05
7. Univ. of Washington	9,631.80	8,889.80	18,521.60
8. Harvard-Yenching Lib., Harvard University	14,008.00	3,902.25	17,910.25
9. Univ. of Pittsburgh	12,582.15	3,634.30	16,216.45
10. Yale University	7,300.95	8,296.70	15,597.65
11. Rutgers University	3,357.50	11,810.25	15,167.75
12. University of California-Los Angeles	7,200.50	7,789.45	14,989.95
13. Univ. of Pennsylvania	2,892.75	5,746.00	8,638.75
14. Pennsylvania State Univ.	22.85	7,809.55	7,832.40
15. University of California-Berkeley	3,729.05	3,595.60	7,324.65
16. Columbia University	$5,570.75	$1,548.80	$7,119.55
17. Harvard College Lib.-Harvard University	68.50	6,806.50	6,875.00
18. University of Illinois	5,844.45	304.00	6,148.45
19. University of Virginia	5,135.50	1,004.00	6,139.50
20. Hoover Institution	5,810.65	274.85	6,085.50
21. Univ. of Connecticut	137.50	5,675.00	5,812.50
22. University of Kansas	3,620.40	1,777.40	5,397.80
23. University of Hawaii	4,024.65	1,367.60	5,392.25
24. University of California-Santa Barbara	4,154.15	1,164.70	5,318.85
25. University of Maryland	5,128.96	126.00	5,254.96

International

Organization	Sales 1/1/69-12/31/73	Sales 1/1/74-12/31/74	Total Sales 1/1/69-12/31/74
1. National Library of Australia	$16,792.80	$8,551.10	$25,343.90
2. Sinologisch Instituut, Leiden	6,107.18	16,512.60	22,619.78
3. University of Toronto	11,663.35	7,986.40	19,649.75
4. Center for Modern Chinese Studies,Toyo Bunko,Japan	8,939.95	6,542.10	15,482.05
5. To Ho Sho Ten Co.,Tokyo	8,263.47	6,342.19	14,605.66
6. Bayerische Staats-bibliothek,München	--	13,657.55	13,657.55
7. Yushodo Booksellers,Ltd. Tokyo	11,951.51	1,186.52	13,138.03
8. The Royal Library, Copenhagen	5,060.30	7,863.50	12,923.80
9. Australian National Univ.	8,720.60	3,769.30	12,489.90
10. University of British Columbia, Vancouver	9,128.00	2,374.10	11,502.10
11. The Chinese University of Hong Kong	9,026.80	884.60	9,911.40
12. Freie Universität Berlin	4,569.75	4,065.40	8,635.15
13. Institut für Asienkunde, Hamburg	5,799.00	343.20	6,142.20
14. School of Oriental and African Studies, London	5,076.04	1,431.90	6,507.94
15. University of Leeds, England	5,181.80	441.52	5,623.32
16. University of Melbourne	1,871.15	3,551.80	5,422.95
17. University of Hong Kong	4,891.25	471.00	5,362.25
18. Kwansei Gakuin Univ., Japan	3,723.50	1,500.00	5,223.50

III. Committees and Meetings

Policy guidance for the Center's operation is provided by a six-member advisory committee, equally served by faculty members and librarians. While the former are nominated by the Joint Committee on Contemporary China of the Social Science Research Council and the American Council of Learned Societies, the latter are nominated by the ARL. In 1974 the advisory committee included the following members: Philip J. McNiff (Boston Public Library), who has been the chairman since the inception of the committee; Edwin G. Beal, Jr. (Library of Congress); Roy M. Hofheinz, Jr. (Harvard University); Ying-mao Kau (Brown University); David T. Roy (University of Chicago); and Eugene Wu (Harvard University).

In view of the continuing demand for the research materials made available by the ARL Chinese Center and the bibliographic services needed by the academic community, the advisory committee during its April meeting held in the Boston Public Library resolved that a Committee on Review and Planning be established to aid the Center in planning future strategies. This committee consists of six members: William F. Dorrill (University of Pittsburgh); Albert Feuerwerker (University of Michigan); Roy M. Hofheinz, Jr.; Philip A. Kuhn (University of Chicago); Frederick W. Mote (Princeton University), who chairs the committee; and Eugene Wu. The committee's first meeting was held in Boston in May 1974.

Both committees met again in Washington, D.C. on December 9th in a joint session. Mr. Mote reported on a meeting of the CSCC-JCCC Task Force on Libraries and Research Materials sponsored by the ACLS, which had been held the previous day, December 8th, indicating that the Task Force had given its unanimous support to the Center and is prepared to aid the Center in any way deemed appropriate. Other topics discussed during the meeting included a review of future reproduction plans and ways and means to assure continuation of the ARL Chinese Center. The committees resolved that the Center should engage more heavily in the humanities and expand its reproduction and bibliographic service programs to include materials of the late nineteenth century.

This was the last meeting attended by Stephen A. McCarthy, an ex officio member of the advisory committee, who retired on December 31, 1974 from the executive directorship of the Association of Research Libraries. It was the first meeting for the new Executive Director of the ARL, John P. McDonald.

IV. Staff

The staff of the ARL Chinese Center consists of a director, P. K. Yu, who has held this position since the Center's founding in May 1968; an administrative secretary/associate editor, Ingeborg Knezevic, who joined the Center in January 1969; a bibliographer, James Cheng, who became a staff member in September 1973; an assistant bibliographer, David Hsü, who joined the Center in November 1971; and a clerk, Victoria Lee, who has been with the Center since March 1970. Because of budgetary reasons, a position of bibliographer vacated in March 1973 remained unfilled. Because of an increase in the work load, the Center has added from time to time temporary employees. Currently, Mr. Ping-feng Chi, who has been working at George Washington University for seven years, is filling in as a temporary bibliographer to assist in the preparation of a complete catalog with full annotations of all publications made available by the ARL Chinese Center until now.

The director is grateful to his staff members for their spirit and devotion which enabled the Center to accomplish much more than could normally be expected from such a small staff. He also wishes to express his heartfelt appreciation to Dr. McCarthy for the strong support given to the Center during the past years and for his many valuable contributions which played no small part in making the Center a success.

APPENDIX X

OFFICE OF UNIVERSITY LIBRARY MANAGEMENT STUDIES

Fourth Annual Report: December, 1974

The activities of the ARL Office of University Library Management Studies (OMS) can be described in terms of the active involvement of member libraries in the successful execution of a series of projects. Twenty-one libraries have participated in the Management Review and Analysis Program (MRAP), an intensive analytical self-study of library organization and performance. Almost all ARL members have contributed to and taken advantage of the services and resources of the Systems and Procedures Exchange Center (SPEC), a device for sharing information on current practices of research libraries. The level of membership interest in and support of the Association's management effort was surveyed by the office at the end of the year as part of an attempt to plan future activities and to secure continued funding support. The results of that survey appear as Appendix Y of these Minutes.

The highlights of OMS activities in this fourth year of operation included expansion of the Systems and Procedures Exchange Center, initiation of the fourth group of participants in the Management Review and Analysis Program, and completion of a study of machine-based information services. These projects are elements within the major continuing programs of research and development, information exchange and management training. The objectives and past accomplishments of these programs have been described in earlier OMS annual reports and this report will briefly note some of the most recent OMS activities in these several programs.

The Office continues to rely on the ARL Management Commission--Stanley McElderry, Chairman, Warren J. Haas, and Richard De Gennaro--as a primary advisory agency. As in previous years the Council on Library Resources' grant to the Association along with a portion of ARL members' dues provides the basic operating budget of the Office.

1. Management Review and Analysis Program (MRAP)

On the basis of earlier experience with this assisted self-study technique, further refinements were made in the program as it operated for the third group of five libraries (Library of Congress/Division of the Blind and Physically Handicapped, University of Maryland, University of Missouri, University of Rochester, Washington State University--October 1973-June 1974), and the fourth group of seven libraries (Indiana University, University of Kentucky, University of Massachusetts, Penn State University, University of Toronto, University of California-Los Angeles, and University of Utah--August 1974-present). Some of the recent changes in the program include: extension of the operating schedule to cover the academic year; definition of

a stronger role for the library director; design of data-gathering instruments for determining major library concerns and assessing staff attitudes toward key organizational issues; expansion of the training sessions; and increased emphasis on planning for the implementation of the resulting recommendations.

To date 21 research libraries have participated in the program. The program continues to be available to member libraries at a minimal fee to cover the cost of some of the materials that are provided. Within the next three years distribution of some share of the operating costs to participants will be considered by the Office's advisory groups.

During the year, the Office surveyed past program participants concerning the approaches used by the library in implementing the results of the study. This survey provided insights and documentation on the key issues and problems experienced by libraries in a post-MRAP phase which will be provided to current participants. In addition, however, the survey demonstrated that the participants have made a serious and concerted investment in capitalizing on the work of their staffs by systematically acting on the analysis and recommendations made by the project. This survey and continued contact with past participants indicates that the program has stimulated organizational growth and change, innovative approaches to library operations, and staff development. Furthermore, with wide staff involvement in the activity, the feasibility of implementation has been greatly enhanced.

Additional documentation on the program is available to interested libraries including: a list of currently available MRAP reports(1); an article describing program operation(2); a series of papers resulting from a workshop held at the University of Tennessee(3); and an interim assessment of the impact of the program(4)[1].

2. Systems and Procedures Exchange Center (SPEC)

The key concept in the design of this center is provision of access to information and documentation on current administrative and operating practices of research libraries. Libraries interested in changing or improving their systems or procedures need to know what the current state-of-the-art is to avoid needless duplication of effort and the center is a device for meeting this need. But for the center to be successful, useful documentation has to be available and the ARL Libraries' willingness to share their ideas and experiences has been the key factor in the center's success.

The first full year of SPEC operation has demonstrated that the SPEC concept can work. The extent and quality of documentation that member libraries have contributed to the center has exceeded initial expectations and the center has been able to conduct seven surveys during the course of the year and to produce SPEC Flyers and Kits covering: status of librarians; staff development; affirmative action; performance review; friends of the library; personnel classification; collective bargaining; tenure policies; leave policies; collection development; acquisition policies; and planning activities.

[1]Numbers in parentheses refer to materials cited in the bibliography on page 199.

In the past libraries have relied on the library literature, conferences and personal contacts for information describing current operations. The center makes this information available on a more systematic and efficient basis with less cost to the seeker and the contributor and meets the need for current, practical, issue-oriented information.

Further information describing the resources and services of the center is available from the office.[5]

3. Office Publications

In addition to the SPEC Flyers and Kits the Office makes a continuing investment in developing publications addressing major issues facing ARL members. During this year three publications have been produced: ARL Management Supplements on goals and objectives[6] and machine-based bibliographic search services[7], and an Occasional Paper on the formulation and use of objectives in research libraries[8]. In the next year the Office expects to prepare major publications covering: performance appraisal, budgeting systems, and collection development.

4. Study of Machine-readable Data Base Information Services

Office staff participated in the Northeast Academic Science Information Center (NASIC), a project funded by the National Science Foundation and administered by the New England Board of Higher Education. This participation led to a field survey of machine-readable data base processing centers oriented toward an investigation of technical, administrative, and operational issues affecting the delivery of computer-based search services. While the survey was primarily directed toward off-line processing centers, the results were generalizable to the delivery of on-line search services by academic libraries. The issues of organization and staffing, training needs, costs, user fees, and factors affecting use were considered in an ARL Management Supplement[7].

5. Workshop and Organizational Training Activities

A series of regional management workshops was initiated this year with past MRAP participants acting as host libraries and co-sponsors. Three workshops that focused on the libraries' experiences with management self-study were conducted at: (1) Tennessee on June 11; (2) Purdue on September 20; and (3) Connecticut on October 22. Over 200 library staff attended these events. Additional MRAP workshops are scheduled for 1975 at the Smithsonian Institution, the University of Washington, and the University of Rochester.

A training film project was initiated for those member libraries willing to share the cost of film acquisition. A survey was conducted to determine interest and a program design was prepared[9]. At this date the first films have been purchased and the OMS has prepared discussion and user guides that are being field-tested at the University of Arizona. In the next year these materials and additional films will be made available to member libraries willing to participate in the project.

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[1]Numbers in parentheses refer to materials cited in the bibliography on page 199.

The Office also hosted a Council on Library Resources fellow for the second time. Larry Yarbrough from Northwestern University was awarded a CRL fellowship to study performance appraisal practices in academic libraries. Mr. Yarbrough worked with the OMS on this fellowship and utilized SPEC files in carrying it out. During the year, Mr. Yarbrough visited five ARL libraries, contributed to a SPEC Kit on performance appraisal and is currently completing a Management Supplement on the topic. For the next year, the Office has cooperated with staff from two member libraries in preparing proposals for additional fellows to work in the OMS.

6. Plans for the Future

The Association is presently developing a proposal to the Council on Library Resources for financial support for future operation of the OMS programs. In order to secure information on membership interests and needs, an OMS Assessment and Planning Inquiry was conducted at the end of the year. Eighty-six percent of the membership responded to the survey. Almost all those responding indicated that they found the Office's activities useful. This opinion was expressed most strongly in relation to the self-study project operated by the Office (The Management Review and Analysis Program) with 63 libraries indicating that they were interested in participating in the program. Of the three major programs operated by the OMS (Research and Development, Information Collection and Dissemination and Management Training) almost all responses indicated that the programs should be maintained at current or expanded levels. In particular, the ARL directors suggested that management training should receive more emphasis in the future. [The responses to the survey were the focus of the discussion at a special meeting held on January 17. These discussions are summarized in Appendix Z of the Minutes.] A tabulation of the survey results appears as Appendix Y. A more detailed analysis is available upon request to the OMS.(10)

As a result of this survey and in consultation with the ARL Management Commission a proposal for future funding was drafted which emphasizes continuation of the Management Review and Analysis Program and the Systems and Procedures Exchange Center on the basis of past success and membership support of these activities. In addition, the proposal outlines initiatives in the Research and Development Program that encompasses new applications of the MRAP technique and considers several quantitative studies. Finally, the proposal responds to membership interest concerning the availability of management training support by allocating increased priority to the development of training programs, operation of workshops and institutes and the creation of specialized training film resources. Pending further discussions with the membership and the ARL Board, this proposal will be submitted to the Council on Library Resources.

The services provided by the center focused initially on providing access to the SPEC files via the publications series and on responding to individual requests for information. These services have been expanded during this year to provision of on-demand file analysis, maintenance of standing orders for SPEC kits, and the execution of requested surveys. These additional services are provided at cost to member libraries and SPEC subscribers. An example of how member libraries capitalize on these services is a recent request from the Tulane University Libraries concerning information on experiences with creating and operating friends of the library organizations. Because of the limited amount of published information on this topic, the Office conducted a survey of ARL members tailored to secure the specific information needed by Tulane. The resulting information, documentation, and analysis was made available to Tulane, which subsidized the time and materials involved with conducting the survey ($250) as well as to the rest of the Association through the regular SPEC publications (SPEC Kit #8, SPEC Flyer #6). An additional on-demand survey has been done on the topic of reclassification of library collections and a survey on the organization of the library instruction function is currently being designed.

The center has been in operation for 16 months and the use of materials has been heavy. All SPEC Flyers and ARL Management Supplements are sent automatically to ARL directors and five copies are sent to the libraries' SPEC liaisons for distribution to their colleagues. SPEC Kits can be ordered individually or via a standing order procedure. These same materials are available to nonmember libraries through SPEC subscriptions ($50 per library per year) which subsidize some of the costs involved in developing the services. The following statistics indicate level of use:

Distribution and Use of SPEC Resources and Services

1974	No. Kits	SPEC Subscriptions	Special Requests
Jan.	79	0	7
Feb.	68	0	3
March	65	1	6
April	59	1	1
May	77	2	3
June	51	2	2
July	89	0	2
August	144	18	2
Sept.	107	14	2
Oct.	300	14	3
Nov.	125	11	3
Dec.	116	2	5
Total:	1280	65	39

A special note of appreciation is extended to Dr. Stephen McCarthy for the advice, counsel and warm encouragement he has provided the Office during its four years' operation. Dr. McCarthy, who retired at the end of 1974, was a driving force in the creation of the Office and in the development of its projects and accomplishments. His leadership and judgment have been a major source of strength for the Office staff.

Submitted by:

Duane E. Webster, Director
Office of University Library
Management Studies

Jeffrey J. Gardner, Management Research Specialist
Office of University Library
Management Studies

Approved by:

John P. McDonald
Executive Director
Association of Research Libraries

* * * *

REFERENCES

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2. Webster, Duane. "The Management Review and Analysis Program," College and Research Libraries, Volume 35, Number 2, March 1974, p. 114-125

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4. Association of Research Libraries. Office of University Library Management Studies. "Interim Assessment of the Impact of the Management Review and Analysis Program." Washington, D.C., Author, 1973.

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6. Dionne, Richard J. "Review of the Formulation and Use of Objectives in Academic and Research Libraries." ARL Management Supplement, Volume Two, Number One, January, 1974.

7. Gardner, Jeffrey J., David Wax, and R. D. Morrison, Jr. "The Delivery of Computer-based Bibliographic Search Services by Academic and Research Libraries." ARL Management Supplement, Volume Two, Number Two, September 1974.

8. Gardner, Jeffrey J. and Duane Webster. The Formulation and Use of Goals and Objectives Statement in Academic and Research Libraries. Washington, D.C., ARL Office of University Library Management Studies, (Occasional Paper Number 3), August 1974.

9. Association of Research Libraries. Office of University Library Management Studies. The ARL Training Film Project. Washington, D. C., Author, 1974.

10. Association of Research Libraries. Office of University Library Management Studies. Analysis of the Results of the OMS Assessment and Project Planning Inquiry. Washington, D. C., Author, 1975.

* * * *

APPENDIX Y

Association of Research Libraries

Office of University Library Management Studies (OMS)

ASSESSMENT AND PROJECT PLANNING INQUIRY

The primary purpose of this inquiry is to secure additional input from ARL directors to aid the ARL Board, Management Commission and office staff in planning future activities for the office.

TABULATION OF SURVEY RESULTS

WITH 79 RESPONSES RECEIVED BY THIS OFFICE AS OF 1/14/75

QUESTIONS

1. Do you feel that the development and operation of a management self-study technique for research libraries is:

   70 useful 5 not useful 1 no opinion

   Comments: _____

2. The Management Review and Analysis Program will be operated on an annual basis over the next three years if a sufficient number of member libraries want to participate in the program.

   a. Are you interested in participating in the 1975 program operation?

      4 yes 45 no 13 maybe

   b. Are you interested in participating at some future date?

      17 yes 17 no 27 maybe

   c. Would you like additional information on MRAP?

      24 yes 39 no

   Comments: _____

3. Do you think that the OMS research and development activity should receive more or less emphasis in the future?

   39 more 2 less 34 same

   Comments: _____

4. What management research and development projects do you think should be developed in the future?

   Management information techniques, including cost analysis (11 comments)
   Impact of automation and computers (6 comments)
   Measuring user satisfaction (5 comments)
   Techniques for measuring library performance (4 comments)
   Budgeting techniques (4 comments)

QUESTIONS

1. The following topics are currently being considered for coverage in the Center. Please indicate your opinion of their potential usefulness and suggest additional items that you think are particularly important or timely.

	Useful	Not Useful	No Opinion	Comments
A. Planning and Control Systems				
• long range planning programs	65	6	8	
• policy-making systems & manuals	54	8	18	
• techniques for conducting environmental analysis	28	13	36	
• facility and building development plans	45	11	23	
• productivity measures	70	0	9	
• the use of statistics in analysis of libraries	70	2	6	
• internal budget analysis techniques	65	5	7	
• budget presentation methods	57	10	12	
• measurement of performance in reference services	67	4	9	
B. Organization				
• methods used for reorganizing	54	7	16	
• communication techniques	61	4	13	
• role of libraries in university	35	21	23	
• use of committees	42	16	15	
• patterns of governance	47	8	18	
• organization of the research function in academic libraries	47	8	23	
• development and use of unit performance standards	70	3	6	
C. Supervision & Staff Resources				
• supervisory standards and evaluation techniques	67	2	10	
• use of specialists and paraprofessionals	57	8	14	
• grievance procedures	45	14	18	
• nature and role of the personnel office	57	7	15	
D. Other Systems and Procedures				
• mechanisms for gathering, analyzing, and using information on present and potential library users	65	6	6	
• pricing library services and charging user fees	56	8	14	
• organization, control and use of microforms	57	9	13	
• collective arrangements and contractual agreements	51	4	22	

E. What additional topics do you think should be covered with the SPEC survey, Kit, and Flyer approach:

2. What is your opinion of the following information collection and dissemination activities conducted by the office:

	Useful	Not Useful	No Opinion	Comments
• Occasional Papers series	69	1	10	
• ARL Management Supplement series	63	4	14	
• SPEC Kits	59	3	21	
• SPEC Surveys	62	2	16	
• SPEC Flyers	65	5	9	
• Major publications such as Columbia Study, Problems in University Library Management, etc.	63	4	13	
• Access to SPEC files	45	3	31	
• Telephone reference service	32	5	41	
• On-demand surveys	41	3	36	

3. Do you think that the information collection and dissemination activity should receive more or less emphasis in the future?

26 more emphasis 2 less emphasis 44 about same

Comments: _____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

III. **ORGANIZATIONAL TRAINING AND DEVELOPMENT EFFORTS:** A variety of activities have been performed for member libraries in this area including:

- Operation of six training sessions for each of the MRAP groups;
- Sponsorship of four Planning Budget Officer workshops
- Sponsorship of three regional MRAP workshops
- OMS staff have participated in or made presentations to about a dozen professional meetings
- Sponsorship of two six-month CLR Management Fellowships: Mr. Dionne from Syracuse on objectives and Mr. Yarbrough from Northwestern on performance appraisal
- OMS is cooperating on the development of proposals with two fellowship candidates for CLR Management Fellowships in 1975/76
- OMS is developing a cooperative training film program for ARL members
- OMS is considering the design and operation of regional management institutes

QUESTIONS

1. What is your opinion of the usefulness of the following training activities:

	Useful	Not Useful	No Opinion	Comments
• Packaged in-house training programs	45	8	25	
• Cooperative development of training resources (i.e. films)	44	10	25	
• Workshop for specialized staff (i.e. planning officer, personnel, etc.)	59	2	18	
• Regional workshop on topics such as MRAP	48	6	25	
• Regional institutes for middle management	60	3	17	
• Provision of consultation on the design of in-house training programs	51	5	22	
• Sponsorship of CLR management fellowships	46	3	31	
• Other	0	0	2	

2. Do you think that management training should receive more or less emphasis in the future?

50 more emphasis 2 less emphasis 16 about same

Comments: _____

IV. Please indicate your general overall assessment of OMS programs and activities:

65 useful 2 not useful 2 no opinion

Comments: _____

V. Please provide any additional comments or suggestions concerning changes you think should be made in the office's basic programs and approach, or activities you think should be emphasized in the future operation of the office:

_____

APPENDIX Z

Summary of January 17 Discussion Session on OMS Future Activities

On Friday, January 17, the Office of University Library Management Studies hosted a discussion session oriented toward assessing past Office programs to help the Office staff and Management Commission members to plan future activities. Approximately 70 member libraries were represented at the session which began with a general review of the results of an Assessment and Project Planning Inquiry which had been completed by the ARL directors in December, 1974. The detailed results of the inquiry are included as Appendix Y of these Minutes.

The results of the inquiry indicate a high level of support for the current programs of the Office. Sixty-one institutions are considering future participation in the Management Review and Analysis Program (MRAP). There was substantial interest in the Office devoting increased effort toward the development of new techniques for relating library costs to library performance. In judging the Office's information clearinghouse program, the members expressed satisfaction with the current level of activity and indicated a number of priority topics for future coverage. Finally, there was substantial agreement that the area of organizational training requires additional attention and that the ARL libraries would benefit from a range of training activities, particularly management workshops for specialized staff, regional institutes and in-house training programs.

Discussion at the Friday night session generally reflected the written comments to the Inquiry, and also provided further thoughts on the future direction of the Office. While there was some support for long-range research and development programs, there was strong interest in developing techniques, tools and methodologies which could be applied to some of the current issues facing academic and research libraries. Suggestions here included: an interest in the design of an MRAP-like application of less intensity and reduced scope; the design of a program directed toward the analysis of current library services; and the development of quantitative methods for measuring and relating library costs to library performance.

In the area of management training there was agreement that while workshops and institutes could be useful, there would be some dangers in relying entirely, or even primarily, on experts from organizations other than libraries. As the discussion evolved, there were suggestions that library personnel with the required expertise can and should be located to participate in the planning and conduct of institutes which the Office might organize and operate.

Finally there were several issues which were identified as being of emerging interest, including the impact of automation on library organization,

resource allocation in a period of stable or declining budgets, and the need for measuring and improving productivity.

Overall, it is apparent that the membership wants to maintain a capacity within the Association to address certain library problems as management questions. Furthermore, the value of past OMS activities to individual libraries warrants increasing Association support for the Office.

The issues raised in the discussion and the results of the Assessment and Planning Inquiry are being integrated into a proposal for future funding for the Office which will be submitted to the Council on Library Resources. The proposal will report the continued support of the member libraries and will incorporate projected income from the continued operation of the Office's major programs.

Duane Webster

January 17, 1975

APPENDIX AA

ATTENDANCE AT 85TH MEETING

University of Alabama Libraries
James F. Wyatt

University of Alberta Library
Bruce Peel

University of Arizona Library
Robert Adams

Arizona State University Library
Donald Koepp

Boston Public Library
Philip J. McNiff

Boston University Library
John Laucus

Brigham Young University
Donald F. Nelson

University of British Columbia Library
Basil Stuart-Stubbs

Brown University Library
Charles Churchwell

University of California Library
(Berkeley) Richard Dougherty

University of California Library
(Davis) Bernard Kreissman

University of California Library
(Los Angeles) Page Ackerman

University of California Library
(Santa Barbara) Keith Blean

University of California Library
(San Diego) John Haak

Case Western Reserve University Libraries
James V. Jones

Center for Research Libraries
Gordon R. Williams

University of Chicago Library
Stanley McElderry

University of Cincinnati Libraries
Harold Schell

University of Colorado Library
Ellsworth C. Mason

Columbia University Libraries
Warren J. Haas

University of Connecticut Library
Norman D. Stevens

Cornell University Libraries
J. Gormly Miller

Dartmouth College Libraries
Edward C. Lathem

Duke University Libraries
Benjamin E. Powell

University of Florida Libraries
Gustave A. Harrer

Florida State University Library
Charles Miller

Georgetown University Library
Joseph E. Jeffs

University of Georgia Libraries
Warren N. Boes

Harvard University Library
Douglas W. Bryant

Howard University Libraries
Mod Makkawi

University of Illinois Library
Robert Oram

Indiana University Libraries
W. Carl Jackson

University of Iowa Libraries
Leslie W. Dunlap

Iowa State University Library
Warren Kuhn

John Crerar Library
William S. Budington

Johns Hopkins University Library
John H. Berthel

Joint University Libraries
Frank P. Grisham

University of Kansas Library
John L. Glinka

University of Kentucky Libraries
Paul Willis

Kent State University
Hyman W. Kritzer

Library of Congress
John Lorenz

Linda Hall Library
Thomas D. Gillies

Louisiana State University Library
Norma Martin

University of Maryland Library
Howard Rovelstad

University of Massachusetts Libraries
Richard J. Talbot

Massachusetts Inst. of Technology Libraries
Natalie N. Nicholson

University of Michigan Library
Robin Downes

Michigan State University Library
Richard Chapin

University of Minnesota Libraries
Ralph H. Hopp

University of Missouri Library
Dwight Tuckwood

National Agricultural Library
Richard A. Farley

National Library of Canada
Joseph Guy Sylvestre

National Library of Medicine
Joseph Leiter

University of Nebraska Libraries
Gerald A. Rudolph

New York Public Library
Richard W. Couper

New York State Library
John A. Humphry

New York University Libraries
Eugene Kennedy

University of North Carolina Libraries
James F. Govan

Northwestern University Libraries
Benjamin Jacabson

University of Notre Dame Libraries
David E. Sparks

Ohio State University Libraries
Hugh Atkinson

University of Oklahoma Library
James K. Zink

Oklahoma State University Library
Norris K. Maxwell

University of Oregon Library
H. William Axford

University of Pennsylvania Libraries
Richard De Gennaro

Pennsylvania State University Library
Stuart Forth

University of Pittsburgh Libraries
Glenora Edwards Rossell

Princeton University Library
William S. Dix

Purdue University Library
Oliver Dunn

Rice University Library
Richard L. O'Keeffe

University of Rochester Libraries
Ben Bowman

Rutgers University Library
Virginia P. Whitney

Smithsonian Institution Libraries
Russell Shank

University of Southern California Library
Roy L. Kidman

Southern Illinois University Library
Ralph E. McCoy

Stanford University Libraries
David C. Weber

State University of New York at Buffalo
Eldred Smith

State University of New York at Stony Brook
John B. Smith

Syracuse University Libraries
Donald Anthony

Temple University Library
Arthur Hamlin

University of Tennessee Libraries
Richard Boss

University of Texas Libraries
Merle N. Boylan

Texas A & M University Library
Irene B. Hoadley

University of Toronto Libraries
David Esplin

Tulane University Library
Robert H. Patterson

University of Utah Libraries
Roger Hanson

University of Virginia Libraries
Ray Frantz, Jr.

University of Washington Library
Marion A. Milczewski

Washington State University Library
G. Donald Smith

Washington University Libraries
William Kurth

Wayne State University Libraries
Vern M. Pings

University of Wisconsin Libraries
Joseph H. Treyz, Jr.

Yale University Libraries
Rutherford D. Rogers

ARL Staff:

John P. McDonald .....Executive Director
Suzanne Frankie .....Assistant Executive Director
Duane E. Webster.....Director, Office of University Library Management Studies
Jeffrey Gardner .....Management Research Specialist
P.K. Yu .....Director, Center for Chinese Research Materials

Guests

John Aubry, Five Associated University Libraries
Kenneth J. Bierman, Virginia Polytechnic Institute & State University
Don Bosseau, Emory University
Barbara Brown, Council on Library Resources Management Intern (UCLA)
Thomas R. Buckman, The Foundation Center
Frederick Burkhardt, National Commission on Libraries & Information Science
Edward C. Carroll, University of Missouri-Columbia Library School
Fred Cole, Council on Library Resources
Eileen D. Cooke, American Library Association-Washington, D. C.
Judith Corin, University of California, Los Angeles
Jack Dalton, Columbia University Library Development Center
Robert B. Downs, University of Illinois
Ralph Edwards, Council on Library Resources Management Intern (Michigan)
Judy Fair, Council on Library Resources Management Intern (Princeton)
Paul Fasana, New York Public Library
Edward G. Freehafer, New York Public Library
Herman H. Fussler, University of Chicago Graduate Library School
David Heron, University of California, Santa Cruz
Carl W. Hintz, University of Oregon-State System of Higher Education Libraries
David Kaser, Indiana University Graduate Library School
W. Porter Kellam, University of Georgia
Lawrence G. Livingston, Council on Library Resources
Richard H. Logsdon, Queens College School of Library Science
Edmond Low, New College Library
Beverly P. Lynch, Association of College and Research Libraries
Frank A. Lundy, University of Nebraska
Louis E. Martin, Harvard College Library
Kathleen McCarthy
Mr. & Mrs. Stephen McCarthy, Jr.
Mr. & Mrs. Stephen McCarthy
Keyes D. Metcalf
Thomas Michalak, Council on Library Resources Management Intern (Columbia)
Foster E. Mohrhardt, Council on Library Resources
Vernon E. Palmour, Center for Naval Analysis
John Rather, Library of Congress
James Riley, Federal Library Committee
Joseph Rosenthal, University of California, Berkeley
Stephen Salmon, University of Houston
G. F. Shepherd, Jr., Cornell University
James Skipper, Research Libraries Group
Carl Spaulding, Council on Library Resources
E. B. Stanford, University of Minnesota Library School
Katharine Stokes

Raynard C. Swank, University of California, Berkeley, School of Librarianship
Lawrence W. Towner, The Newberry Library
Alphonse Trezza, National Commission on Libraries & Information Science
Barbara von Wahlde, Council on Library Resources Management Intern (Tennessee)
Robert Vosper, University of California, L.A. Graduate School of Library Service
William Welsh, Library of Congress
Stanley L. West, University of Hawaii

Members Not Represented:

McGill University Library

APPENDIX BB

COMMISSIONS, COMMITTEES AND TASK FORCES OF THE ARL

January 1975

ARL COMMISSIONS

1. Commission on Development of Resources

   Page Ackerman (Jan. 1975)
   Basil Stuart-Stubbs (Jan. 1976)
   Gustave Harrer, Chairman (Jan. 1977)

2. Commission on Organization of Resources

   John McGowan (Jan. 1977)
   Joseph Treyz, Jr. (Jan. 1975)
   William Budington, Chairman (Jan. 1975)

3. Commission on Access to Resources

   John Berthel (Jan. 1977)
   Richard Boss (Jan. 1977)
   Virginia Whitney, Chairman (Jan. 1976)

4. Commission on Management of Research Libraries

   Richard De Gennaro (Jan. 1975)
   Warren Haas (Jan. 1976)
   Stanley McElderry, Chairman (Jan. 1976)

5. Commission on External Affairs

   John McDonald (Jan. 1976)
   Lucien White (Jan. 1977)
   William S. Dix, Chairman (Jan. 1977)

6. ARL Executive Committee

   Richard De Gennaro, President
   Virginia Whitney, Vice President & President-elect
   Ralph Hopp, Past President
   John P. McDonald, Executive Director

ARL STANDING COMMITTEES

Committee on Access to Manuscripts and Rare Books

William Bond
William Cagle
John Finzi
James Henderson
Herman Kahn
Ray Frantz, Jr., Chairman

Committee on Center for Chinese Research Materials

Edwin G. Beal, Jr.
Roy Hofheinz, Jr.
Ying-mao Kau
David T. Roy
Eugene Wu
Philip McNiff, Chairman

Committee on Copyright

Howard Rovelstad, Chairman

Committee on Federal Relations

W. Carl Jackson
Benjamin Powell
Rutherford Rogers
Paul Willis
Eugene Kennedy, Chairman

Committee on Foreign Newspapers on Microfilm

Basil Stuart-Stubbs
Lucien White
Gordon Williams
John Lorenz, Chairman

Committee on Interlibrary Loan

Richard Chapin
Ruth Kirk
John Humphry
Jay Lucker
David Weber, Chairman

National Program for Acquisitions and Cataloging Liaison Committee

Philip McNiff
Howard Sullivan
Joseph H. Treyz, Jr.
Frederick Wagman, Chairman

Committee on Negro Academic Libraries

Arthur Hamlin
Warren Boes, Chairman

Committee on Nominations

ARL Vice President, Chairman

Committee on Preservation of Research Libraries Materials

Robert Blackburn
Douglas Bryant
Herman Fussler
Rutherford Rogers
Gordon Williams
Frazier Pool

ARL COMMITTEES ON LIBRARY ACQUISITIONS ON FOREIGN MATERIAL

Africa

Peter Duignan, Hoover Institution on War, Revolution and Peace
Beverly Gray, Boston University
Conrad Reining, Georgetown University
Julian Witherell, Library of Congress
Hans Panofsky, Northwestern University, Chairman

Middle East

George N. Atiyeh, Library of Congress
James Pollack, Indiana University
David H. Partington, Harvard University, Chairman

Eastern Europe

Paul Horecky, Library of Congress
Joseph A. Placek, University of Michigan
Marion Milczewski, University of Washington, Chairman

Far East

Weying Wan, University of Michigan
Eugene Wu, Harvard University
Warren Tsuneishi, Library of Congress, Chairman

South Asia

Paul Fasana, New York Public Library
Richard De Gennaro, University of Pennsylvania
Maureen Patterson, University of Chicago
Louis A. Jacob, Library of Congress, Chairman

Southeast Asia

Charles Bryant, Yale University
John Musgrave, University of Michigan
Giok Po Oey, Cornell University, Chairman

Latin America

Nettie Lee Benson, University of Texas
Donald Wisdom, Library of Congress
Carl W. Deal, University of Illinois, Urbana, Chairman

Western Europe

Norman Dudley, UCLA
Ten-Tsai Feng, Boston Public Library
William H. Kurth, Washington University, St. Louis
Howard Sullivan, Wayne State University, Chairman

ARL TASK FORCES

Task Force on Future of the Card Catalog

Hugh Atkinson
Richard De Gennaro
William Welsh
Joseph Rosenthal, Chairman

Task Force on National Periodical Resources Plan

Joseph Jeffs
Gordon Williams
Arthur Hamlin, Chairman

Task Force on NEH Research Tools Program

Richard Dougherty
James Henderson
Hyman W. Kritzer
David Laird
David Sparks
Ellsworth Mason, Chairman

ARL-ACRL Task Force on University Library Standards

Clifton Brock
Gustave Harrer
Jay Lucker
Ellsworth Mason
John McDonald
Jasper G. Schad
Robert Downs, Chairman

REPRESENTATIVES

ANSI Committee Z-39	Eugene Kennedy
CONSER Project	John McGowan
Joint Committee on Union List of Serials	William Budington
Joint Statistics Coordinating Committee	Roger Hanson
Library Relations Committee of the National Microfilm Association	Ralph E. McCoy
United States Book Exchange	John Berthel

APPENDIX CC

MEMBERSHIP OF ASSOCIATION OF RESEARCH LIBRARIES

JANUARY 1975

University of Alabama Libraries
P. O. Box S
University, Alabama 35486
James F. Wyatt, Dean of Libraries
(205) 348-5298

University of Alberta Library
Edmonton, Alberta, Canada T6G 2E2
Bruce Peel, Director
(403) 432-3790

University of Arizona Library
Tucson, Arizona 85721
W. David Laird, Librarian
(602) 884-2101

Arizona State University Library
Tempe, Arizona 85281
Donald Koepp, Librarian
(602) 965-3415

Boston Public Library
Boston, Massachusetts 02117
Philip J. McNiff, Librarian
(617) 536-5400

Boston University Library
Boston, Massachusetts 02215
John Laucus, Director
(617) 353-3710

Brigham Young University Libraries
324 Clark Library
Provo, Utah 84601
Donald F. Nelson, Director
(801) 374-1211 ext. 2905

University of British Columbia Library
Vancouver 8, B. C. Canada V6T 1W5
Basil Stuart-Stubbs, Librarian
(604) 228-2298

Brown University Library
Providence, Rhode Island 02912
Charles Churchwell, Librarian
(401) 863-2162

University of California Library
Berkeley, California 94720
Richard Dougherty, Librarian
(415) 642-3773

University of California Library
Davis, California 95616
Bernard Kreissman, Librarian
(916) 752-2110 ext. 2167

University of California Library
Los Angeles, California 90024
Page Ackerman, Librarian
(213) 825-1201

University of California, San Diego
The University Library
La Jolla, California 92037
John R. Haak, Acting Librarian
(714) 453-2000

University of California, Santa Barbara
Santa Barbara, California 93106
Donald Davidson, Librarian
(805) 961-3256

Case Western Reserve University Libraries
Cleveland, Ohio 44106
James V. Jones, Director
(216) 368-2990

Center for Research Libraries
5721 Cottage Grove Avenue
Chicago, Illinois 60637
Gordon R. Williams, Director
(312) 955-4545

University of Chicago Library
Chicago, Illinois 60637
Stanley McElderry, Director
(312) 753-2933

University of Cincinnati Libraries
Cincinnati, Ohio 45221
Harold Schell, Dean, Library Admin.
& Dir. of Librs. (513) 475-2533

University of Colorado Library
Boulder, Colorado 80304
Ellsworth C. Mason, Director
(303) 443-2211 ext. 7511

Columbia University Libraries
New York, New York 10027
Warren J. Haas, Vice President
& Libn. (212) 280-2247)

University of Connecticut Library
Storrs, Connecticut 06268
Norman D. Stevens, Acting Director
(203) 486-2219

Cornell University Libraries
Ithaca, New York 14850
J. Gormly Miller, Director
(607) 256-3689

Dartmouth College Libraries
Hanover, New Hampshire 03755
Edward C. Lathem, Librarian
(603) 646-2236

Duke University Libraries
Durham, North Carolina 27706
Benjamin E. Powell, Librarian
(919) 684-2034

University of Florida Libraries
Gainesville, Florida 32603
Gustave A. Harrer, Director
(904) 392-0341

Florida State University Library
Tallahassee, Florida 32306
Charles Miller, Director
(904) 644-5211

Georgetown University Library
Washington, D. C. 20007
Joseph E. Jeffs, Director
(202) 625-4095

University of Georgia Libraries
Athens, Georgia 30601
Warren N. Boes, Director
(404) 542-2716

Harvard University Library
Cambridge, Massachusetts 02138
Douglas W. Bryant, Director
(617) 495-2404

Howard University Libraries
Washington, D. C. 20001
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